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ABSTRACT

As part of a study of the planning and budgeting process at the departmental level at North Texas State University (NTSU), 20 pilot departments were asked to develop a comprehensive five-year plan for 1979-1984, and annual plans and budget requests for fiscal year 1980 and for future biennial periods. This guide is offered for use of the pilot units for updating the five-year plans and to all departments as a guide for implementing the planning process. Background for planning and budgeting is provided in the first section of the guide followed by an outline of the process in Section 2. Details, examples, and suggestions for development of a five-year plan, the one-year plan, and the annual budget are presented in the remaining sections. The appendices contain the mission and goals of NTSU, planning assumptions for 1979-1984, NTSU program structure, and NTSU program plans and priorities for 1979. (SPG)

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GUIDE TO PLANNING AND BUDGETING

NORTH TEXAS STATE UNIVERSITY

A Guide to the Preparation of Five-Year Plans, 1979-1984, for Annual Plans and Budget Requests for FY 1980, and for Requests for Appropriations for Future Biennial Periods.

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The President's Task Force on Planning and Budgeting

March 1978

PREFACE

Last fall, the chairman of each budget department received a copy of the University Planning and Budgeting First-Year Report, which summarized our collective efforts in creating a planning and budgeting process and presented a calendar for a planning cycle starting in January 1978. The Board of Regents directed that we make a full test of that process starting in January of this year.

The President's Cabinet will continue to serve in the role of University Planning Council for this work, assisted by this Task Force in development and facilitation of the process. The 20 pilot departments are being asked to continue to test the planning and budgeting process at the departmental level. In addition we have been advised that a significant number of departments have already begun work on the process at the same time in order to gain experience for next year.

The schedule asks for the comprehensive five-year plan to be developed during the current spring semester and summer, the annual plan in the fall semester of 1978, and the annual budget cycle in the spring of 1979. (Note also that the planning work done to date will form the basis of our biennial request for legislative appropriations on July 1, 1978.)

For departments which have not been involved in the pilot testing of the planning and budgeting process to date, we now wish to point out their schedule for involvement:

August 1978: Begin training for the entry of all departments into the full 17-month planning cycle.

January 1979: All departments at all levels of the university begin the 17-month cycle.

To that end, this guide to planning and budgeting is offered for the use of the pilot units in their immediate updating of the five-year plan and to all other departments as a guide in preparing their staff for implementing the planning process next year.

The President's Task Force on Planning and Budgeting

March 1978

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1. BACKGROUND FOR PLANNING AND BUDGETING

President C. C. Nolen in July 1975 formed a task force for the development of a planning and budgeting process. He asked that this process accomplish these four things:

(1) assure maximum utilization of available funds;
(2) provide a process, format, and schedule for planning and budgeting;
(3) lead to rational decision-making at all university levels; and
(4) lead logically to well-developed biennial appropriations requests,

all aimed at the accomplishment of both short- and long-range goals.

The Task Force on Planning and Budgeting spent the first year in study, discussion, and planning, leading to conferences of the heads of all budgetary units in May 1976 and again in September 1976. The second year became one of "pilot testing" various approaches to the planning and budgeting process. This work was carried out in great detail at the budget-department level by 20 volunteer pilot units. At the university level, the task force and the President's Cabinet evaluated the pilot unit work and applied the reports of several subcommittees to develop a planning document for year-end review by the university community.

That document was University Planning and Budgeting, First-Year Report, August 1977. It sought to integrate four prior planning documents into the format of the new planning and budgeting system. This was designed to build upon existing commitments and to avoid producing a totally "new" set of plans simply because a "new" format and process are being developed. The previous documents which gave so much direction to the current effort include the following:

Institutional Self-Study for the Southern Association of Colleges and Schools, September 1973.

Statement of Purposes and Goals for the University, August 20, 1975 (including a "Program for Excellence").

Role and Scope Statement to the Coordinating Board, Texas College and University System, January 1976.

President's Institutional Progress Report, August 2, 1976.

FORMAT OF THE PROCESS. Planning is conceived of as the process by which the university defines its overall goals and specific objectives and devises the means of attaining them. The objectives are pursued through the design of programs and activities and the provision of resources for these. The resources in large part are provided by means of the annual budgeting process, which in turn is heavily dependent upon the State of Texas appropriations process. The design of a planning and budgeting system, therefore, requires us to deal both with a standard chart-of-accounts budget format and with a set of program plans which very likely will not correspond in most respects to the traditional budget format.

The work of the Task Force and the pilot units has attempted to develop a format for defining goals, structuring programs, planning activities, and allocating resources to the activities through our organized budgetary units. The heart of this format is the definition of programs to allow the faculty and staff (the "planners") to relate resource and activity information to the achievement of goals and objectives. This moves us away from the sole reliance upon budgeting to organizational units out of traditional accounting elements. The process relies in addition upon a "program structure" for its organization. The program structure includes three primary programs, which contain the activities directly related to the accomplishment of the primary goals of the university. These are:

1.0 Instruction
2.0 Research
3.0 Public Service.

Three support programs contain those activities that are necessary or useful for the successful operation of the primary programs. These are grouped as follows:

4.0 Academic Support
5.0 Student Services
6.0 Institutional Support.

This system is adapted from the Program Classification Structure devised by the National Center for Higher Education Management Systems (NCHEMS). The six programs do not represent the university's goals; the goals of the institution are grouped within each program so that resources and activities can be discussed in relationship to the accomplishment of objectives. The bulk of this planning effort is organized around the six programs. A set of subprograms is listed to help further define the activities that make up the program. The program structure categories may or may not relate directly to this institution's organizational units, depending upon how closely organizational units happen to correspond to objective-oriented programs.

One of the problems of developing and implementing program goals is that of communicating horizontally across units arrayed in the traditional vertical reporting structure of a university organizational chart. Figure 1 presents a concept aimed at cutting across organizational lines to create programs that can be accomplished without respect to territorial location of efforts within the organization. In this portrayal, the attainment of university goals may become the responsibility of a number of units in the university, and these responsibilities might well be shared by individuals who "belong" in totally different parts of the organizational structure.

For example, suppose we have a goals statement which states that the intellectual development of its students is a top university priority. It would be assigned to programs lying largely within the column labeled "Academic Affairs." Yet it is also possible to think that within the area of "Fiscal Affairs," the operation of the University Book Store could be aimed at contributing to the attainment of the intellectual goal. Similarly, under the area of "Student Affairs" the scheduling of the Fine Arts Series will undoubtedly have a role in attaining this goal.

The major point to be drawn by Figure 1 is this: planning that takes place within the territorial responsibility view of a single budget unit may well fall short of the accomplishment possible by taking a program view of goal attainment shared horizontally across all units of the university. Conversely, a general university goal may never be achieved unless one or more budget units develop specific objectives in support of the goal, an action plan is developed, resources are provided, and responsibility is assigned for successful achievement of the objectives.

MISSION, GOALS, AND OBJECTIVES. Fundamental to this kind of planning process is the articulation of a general institutional mission, of qualitative goals for university programs and budget units, and for specific quantitative objectives for each budget unit. Figure 2 portrays the relationship of mission, goals, and objectives to time span and to the level of activity within the university.

The mission states the philosophy and purpose of the university and its programs, extending over the long-range view. Goals provide the basis for program planning and will generally cover a five-year span for the university, its programs, and each budget unit. Objectives state specific ends to be achieved by a budget unit within a one-year planning period.

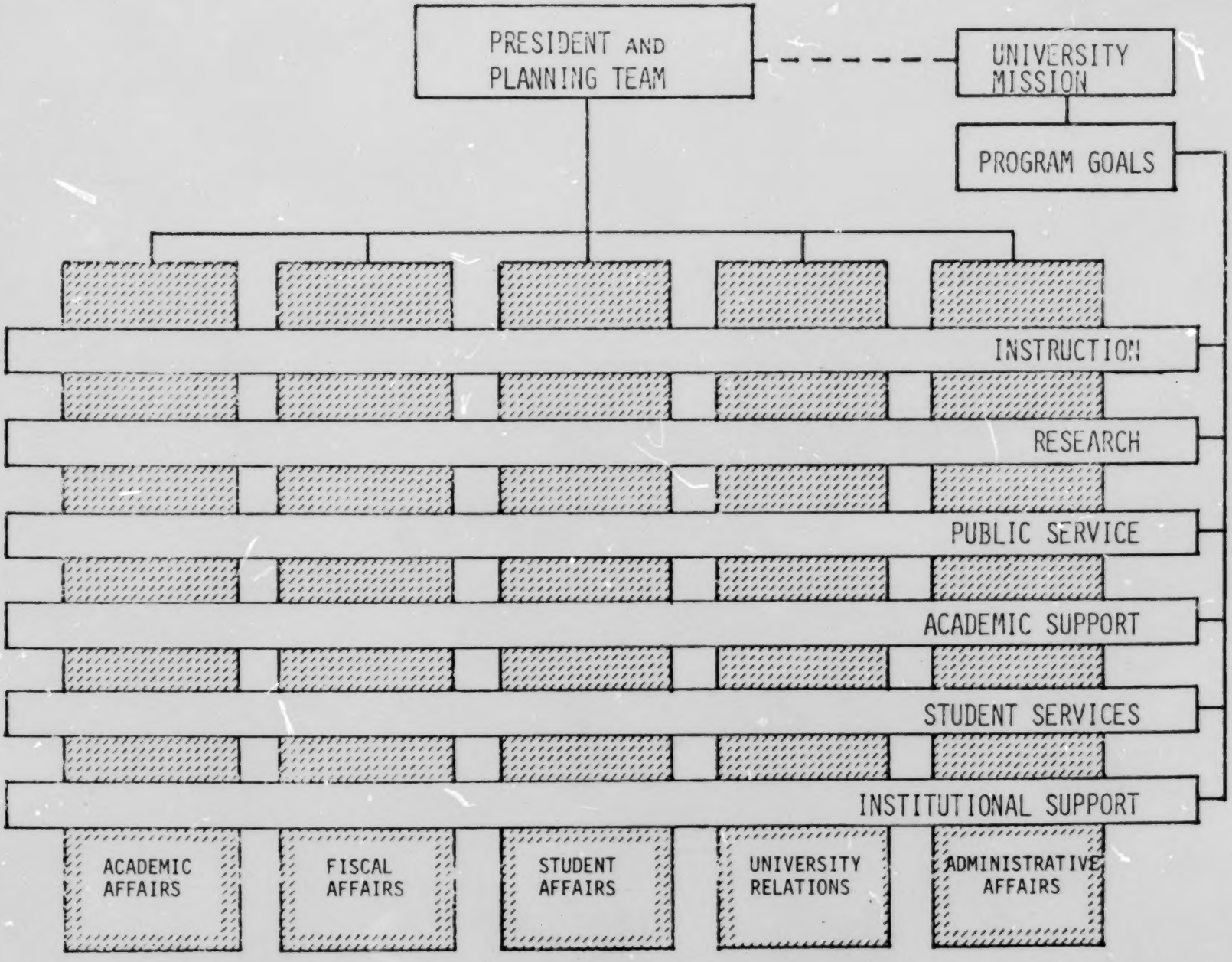
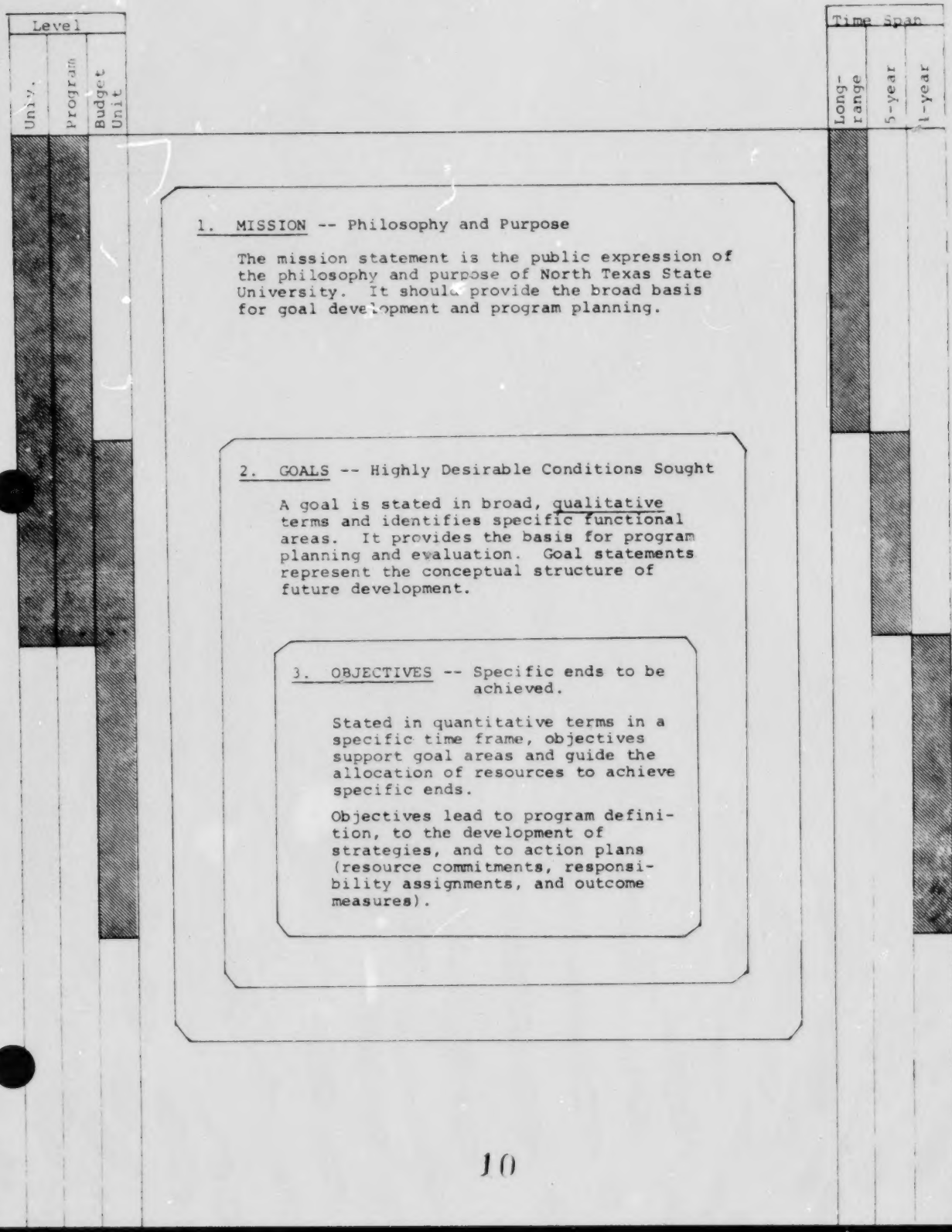

PRESIDENT AND PLANNING TEAM
UNIVERSITY MISSION
PROGRAM GOALS
INSTRUCTION
RESEARCH
PUBLIC SERVICE
ACADEMIC SUPPORT
STUDENT SERVICES
INSTITUTIONAL SUPPORT
ACADEMIC AFFAIRS
FISCAL AFFAIRS
STUDENT AFFAIRS
UNIVERSITY RELATIONS
ADMINISTRATIVE AFFAIRS
ORGANIZATIONAL FUNCTIONS
PROGRAM/ORGANIZATION CROSSCUT

Figure 1

Figure 2

THE RELATIONSHIP OF MISSION, GOALS AND OBJECTIVES IN THE PLANNING PROCESS


Level
Univ.
Program
Budget Unit
Time Span
Long-range
5-year
1-year
1. MISSION -- Philosophy and Purpose
The mission statement is the public expression of the philosophy and purpose of North Texas State University. It should provide the broad basis for goal development and program planning.
2. GOALS -- Highly Desirable Conditions Sought
A goal is stated in broad, qualitative terms and identifies specific functional areas. It provides the basis for program planning and evaluation. Goal statements represent the conceptual structure of future development.
3. OBJECTIVES -- Specific ends to be achieved.
Stated in quantitative terms in a specific time frame, objectives support goal areas and guide the allocation of resources to achieve specific ends.
Objectives lead to program definition, to the development of strategies, and to action plans (resource commitments, responsibility assignments, and outcome measures).

THE PLANNING CALENDAR. The literature of planning frequently talks about short-range, intermediate, and long-range planning periods. More and more, the rapidity of societal changes is causing planners of any type of activity to deal less and less specifically with the longer-range type of activity. For North Texas State University, we use a "long-range" planning horizon working "Toward the Second Century: 1990 and Beyond." At that distance it seems unlikely that we can usefully do much more than to define the institutional mission and aspirations. Any attempt at specifics of program definition or quantification of data would seem to be unrealistic.

Our planning calendar therefore includes the annual budget cycle and extends out to a five-year program. While this can be viewed within the framework of a long-range planning horizon, the planning activity will not attempt to deal with very much beyond a five-year outlook.

Figure 3 suggests a means of defining one-year and five-year planning periods built around the annual budget and the biennial legislative request cycles. The five-year plan will be for the period from September 1, 1979, to August 31, 1984. The annual plan (and the ensuing budget request) will be for Fiscal Year 1980, ending August 31, 1980.

The five-year plan embraces two biennial legislative request periods: the July 1980 request for the 1982-83 biennium and the 1982 request for the 1984-85 biennium.

The work of the 20 pilot planning departments led to the creation of a 17-month calendar for one full planning and budgeting cycle. The activities are indicated in Figure 4, Schedule for Planning and Budgeting.

This planning guide represents the outcome of the first three steps of the five-year comprehensive plan: revision of planning assumptions, revision of university mission and goals, and the presentation of the policies and procedures for planning and budgeting for the current period. The schedule illustrates that one full planning and budgeting cycle requires a 17-month calendar which is divided into three phases:

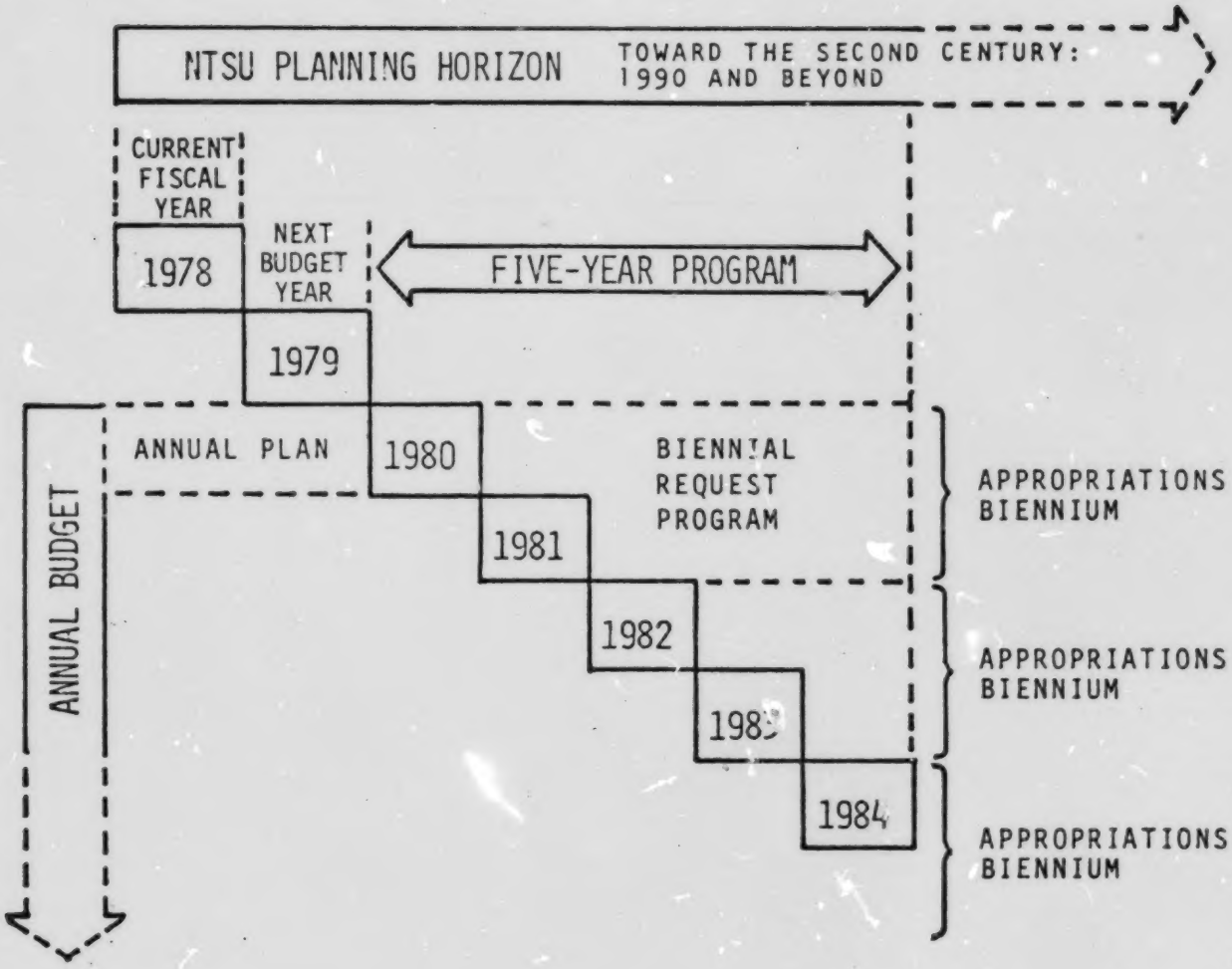
(1) Developing the five-year comprehensive plans.

(2) Developing the annual plans, which are based on the five-year comprehensive plans.

(3) Preparing annual budget requests, which should grow out of the annual plans.

Figure 3

PLANNING PERIODS



PLANNING PERIODS

- NTSU PLANNING HORIZON
- FIVE-YEAR PROGRAM
- ANNUAL PLAN

BUDGET PERIODS

- ANNUAL BUDGET
- BIENNIAL APPROPRIATIONS REQUEST

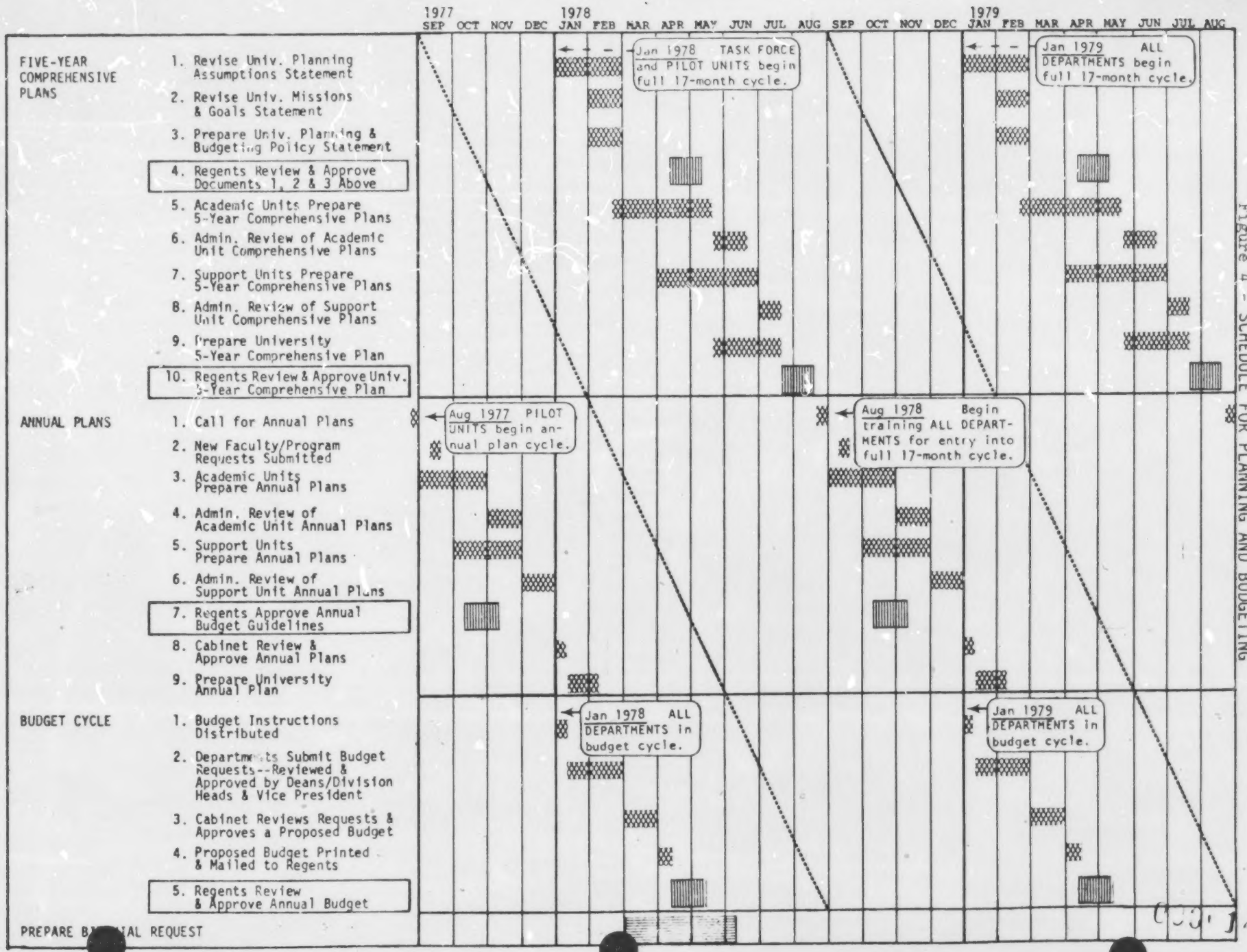

1977
SEP OCT NOV DEC
1978
JAN FEB MAR APR MAY JUN JUL AUG SEP OCT NOV DEC
1979
JAN FEB MAR APR MAY JUN JUL AUG
FIVE-YEAR COMPREHENSIVE PLANS
1. Revise Univ. Planning Assumptions Statement
2. Revise Univ. Missions & Goals Statement
3. Prepare Univ. Planning & Budgeting Policy Statement
4. Regents Review & Approve Documents 1, 2 & 3 Above
5. Academic Units Prepare 5-Year Comprehensive Plans
6. Admin. Review of Academic Unit Comprehensive Plans
7. Support Units Prepare 5-Year Comprehensive Plans
8. Admin. Review of Support Unit Comprehensive Plans
9. Prepare University 5-Year Comprehensive Plan
10. Regents Review & Approve Univ. 5-Year Comprehensive Plan
Jan 1978 TASK FORCE and PILOT UNITS begin full 17-month cycle.
Jan 1979 ALL DEPARTMENTS begin full 17-month cycle.
ANNUAL PLANS
1. Call for Annual Plans
2. New Faculty/Program Requests Submitted
3. Academic Units Prepare Annual Plans
4. Admin. Review of Academic Unit Annual Plans
5. Support Units Prepare Annual Plans
6. Admin. Review of Support Unit Annual Plans
7. Regents Approve Annual Budget Guidelines
8. Cabinet Review & Approve Annual Plans
9. Prepare University Annual Plan
Aug 1977 PILOT UNITS begin annual plan cycle.
Aug 1978 Begin training ALL DEPARTMENTS for entry into full 17-month cycle.
BUDGET CYCLE
1. Budget Instructions Distributed
2. Departments Submit Budget Requests--Reviewed & Approved by Deans/Division Heads & Vice President
3. Cabinet Reviews Requests & Approves a Proposed Budget
4. Proposed Budget Printed & Mailed to Regents
5. Regents Review & Approve Annual Budget
Jan 1978 ALL DEPARTMENTS in budget cycle.
Jan 1979 ALL DEPARTMENTS in budget cycle.
PREPARE BIENNIAL REQUEST

Figure 4 - SCHEDULE FOR PLANNING AND BUDGETING

In the spring and summer of 1978, then, this guide is addressed to two different audiences. One group is made up of the pilot planning units which will follow this process in the preparation of an updated five-year plan in the spring, an annual plan in the fall, and a budget request based on the annual plan in the spring of 1979. The other group is made up of the remaining budget departments on the campus which have not yet had direct involvement in the planning and budgeting activities. As Figure 4 indicates, each of these departments is asked to begin training at the start of the 1978 fall semester for becoming full participants in the university-wide process in January 1979. This guide is being distributed to all departments now in order to provide added preparation time for that date.

GUIDING ASSUMPTIONS. A number of assumptions have guided the Task Force, its subcommittees, and the pilot departments in the development of the planning process. The planning process should encompass differing time spans: the annual budget year, the biennial appropriations request period, and a five-year plan, all within a general long-range framework. The budgeting process must be an integral part of the planning process.

It is especially important that the planning involve those who will be expected to implement the plans and who will be directly affected by those plans: It is equally important that those plans focus on the needs of students and other constituent groups served by the university.

The process should lead to clearly stated institutional priorities which may be expected to guide the future course of development. In this context, the function of the budgeting process is to distribute resources among programs to support institutional priorities.

A plan is, above all, a means of communication. Visibility is to be provided to each university program through adequate data to relate intended benefits to resource requirements. It is this relationship between the budgeting of resources and the achievement of program outcomes that makes the planning process so very difficult to accomplish. Without the development of indicators of success, however, justification for resource allocation becomes increasingly weaker.

PURPOSES OF PLANNING. The Task Force has also developed a statement of goals for the planning and budgeting activities. The process should lead to the following:

1. A clearer understanding of goals and priorities by the university community as a whole.

2. More teamwork in achieving common goals.

3. Greater effectiveness in reaching goals.

4. Participation in planning by those expected to implement plans.

5. Simultaneous consideration of all major competing claims or resources.

6. Greater efficiency through less organizational wasted effort.

7. Evaluation of accomplishment against intended results.

8. Clarification of responsibilities.

9. Development of leaderships and administrative skills.

10. More and better communication about what others are trying to accomplish.

11. Less crisis-oriented management through better foresight.

12. A better means of adapting to the environment.

13. Better service to university constituencies.

14. Improved allocation of available resources.

15. Increased levels of external funding.

RESPONSIBILITIES FOR PLANNING. It is important to emphasize one of the goals listed above, "participation in planning by those expected to implement plans." This means that planning is not done for the University by the President, by his Cabinet, by a planning office, or by a task force. The planning tasks must be diffused throughout the organization. At North Texas State University, the responsibilities may be viewed this way:

1. Each budget department has the responsibility to do planning as part of an organized university process which seeks the integration of program, financial, and facilities planning.

2. The Planning and Budgeting Task Force and its subcommittees are assigned to design, implement, and coordinate the developmental stages of the planning process.

3. The functions of the Office of University Planning and Analysis are to develop planning tools, to see that planning gets done, and to help planners do the job well.

4. The academic deans are responsible for leadership of the academic departments in conducting the planning process and for evaluating the planning/budgeting activities of the departments. Each dean is also responsible for the coordination of work leading to a comprehensive plan for his school or college.

5. Each vice president functions in two capacities:

   (a) As a line officer, he coordinates, evaluates, and directs the implementation of the planning activities within his area of responsibility

(b) As a staff officer, he serves on the President's Cabinet, which functions as the Planning Council of the University to review all components of the planning and budgeting process.

6. The President is the chief planning officer of the University, responsible for making all recommendations to the Board of Regents.

7. The role of the Board of Regents, as delineated in Figure 4 is to review and approve:

(a) University planning assumptions, mission and goals, and planning and budgeting policies;

(b) University five-year comprehensive plan;

(c) Annual budget guidelines; and

(d) Annual budget.

2. OUTLINE OF THE PROCESS

This section of the guide presents in brief outline form the principal steps to be followed in the planning and budgeting process. More detailed suggestions are presented in subsequent sections.

THE FIVE-YEAR PLAN. In the five-year plan, you are asked to consider these questions for 1979-84:

1. *Five years from now, what should your department and this university be like?*	GOALS
2. *What problems, opportunities, and constraints face us in getting there?*	PLANNING ASSUMPTIONS
3. *How will you organize for achieving your goals?*	OUTLINE OF PROGRAMS AND FUNCTIONS
4. *How do you plan to reach those goals?*	STRATEGIES
5. *What will it cost?*	RESOURCES
6. *How will you know when you get there?*	OUTCOMES & EVALUATION

The written plan for each department should contain these six elements. On the next page you will find a short summary of the steps recommended for each department to follow in developing a five-year plan. Other sections of this guide repeat in more detail the procedures suggested for each step and present support material to be used in the planning process.

SHORT SUMMARY

RECOMMENDED STEPS FOR DEVELOPMENT
OF THE COMPREHENSIVE FIVE-YEAR PLAN

1. DEVELOP GOALS FOR YOUR DEPARTMENT.

    1. Review the university mission and goals. Propose any modification or addition to the goals.

    2. Prepare departmental goals. These should support and be compatible with the university goals.

2. DEVELOP PLANNING ASSUMPTIONS FOR YOUR DEPARTMENT.

    1. Review the university statement of planning assumptions. Propose any modification or addition.

    2. Discuss the implications of these assumptions for your department.

    3. Develop and state any additional assumptions about the external and internal environment which are unique or of special importance to your department.

    4. Based on these analyses, what problems, opportunities, and constraints do you identify that your department will take into account in planning for the next five years?

3. IDENTIFY AND ORGANIZE YOUR DEPARTMENT'S PROGRAMS AND FUNCTIONS.

    1. Consult the NTSU Program Structure and identify the programs and subprograms to which your department plans to contribute.

    2. For each applicable university program and subprogram, identify your department's programs.

    3. List the department functions that contribute to the goals of each department program.

    4. Enter this information in the form, "Outline of Department Programs and Functions."

4. DEVELOP A NARRATIVE STATEMENT OF STRATEGIES FOR GOAL-ATTAINMENT.

In a narrative section for the five-year period, devise strategies for the attainment of your department's goals within the context suggested by the planning assumptions. In general this should cover the department programs and functions listed earlier. The narrative should discuss:

1. Departmental contributions to the university.
2. Priorities established by your department.
3. Alternate strategies for achieving goal priorities.
4. Changes proposed for the department during the next five years.
5. Resource requirement implications of your five-year plan.
6. Plans for increasing external funding.
7. Changes in the level or nature of support services needed.

5. IDENTIFY ITEMS FOR FURTHER STUDY.

1. List issues, programs, or projects which your unit wishes to include for further study in the continuation of planning activities.
2. Suggest improvements in the planning process which would help your department.

6. DEVELOP OUTCOME MEASURES AND EVALUATION TECHNIQUES.

1. For each departmental goal, indicate in general the kinds of outcome measures which you believe will indicate success in achieving that goal.
2. For each department program, suggest procedures for evaluation of program effectiveness.

THE ANNUAL PLAN. In the annual plan process, you are asked to become much more specific in devising means of reaching the goals and broad strategies developed in your department's five-year plan. In the annual plan, you are asked to address these questions for 1979-80:

1. *Where do you want to go this year?*	OBJECTIVES
2. *How will you get there?*	SPECIFIC STRATEGIES
3. *Who's going to do what and when?*	ACTION PLAN
4. *What will it cost?*	RESOURCES
5. *What comes first?*	PRIORITIES
6. *How will you know if you get there?*	OUTCOMES AND EVALUATION

The annual plan report should contain these six elements. Rather than dealing with each in turn, some pilot units elected to cluster some or all of these elements according to the programs and departmental functions. For most departments, this will probably prove to be the preferred approach. For purposes of definition and example, however, separate steps are discussed in the brief outline that follows. More detailed procedures are proposed with examples in subsequent sections.

SHORT SUMMARY
RECOMMENDED STEPS FOR ANNUAL PLAN DEVELOPMENT,
FALL 1978 PROGRAM FOR 1979-80

1. REVIEW THE UNIVERSITY'S FIVE-YEAR PLAN.

   1. This will be distributed at the start of the fall semester.

   2. The department's plans should be coordinated with the university plan.

   3. The department's plans should respond to the statements of university priorities.

2. REVIEW YOUR DEPARTMENT'S FIVE-YEAR PLAN.

   1. This plan covers the period from Sept. 1, 1979, to Aug. 31, 1984.

   2. Revise the department's five-year plan at this time if necessary.

3. REVIEW AND VERIFY YOUR DEPARTMENT'S PROGRAMS AND FUNCTIONS

   1. This information was entered in the form, "Outline of Unit Programs and Functions," for the five-year plan.

   2. If any changes have occurred, revise the form accordingly. If not, repeat the form in this annual plan.

4. OUTLINE DEPARTMENT OBJECTIVES.

   1. Outline the objectives of your department for FY 1978.

   2. Relate the objectives to the university and department goals they support.

5. LIST STRATEGIES FOR YOUR OBJECTIVES.

   1. A strategy states the means used to achieve objectives.

   2. For each objective, consider the alternative strategies available to your department.

   3. Select the strategy judged best to accomplish the result specified in the objective.

6. OUTLINE AN ACTION PLAN FOR EACH STRATEGY.

   1. Develop an explicit statement of work to be accomplished to complete each strategy.

   2. This action plan should contain each of these elements:

      a. A clear statement of the activity to be accomplished.

      b. A time schedule.

      c. The assignment of the responsibility to an individual.

   3. Using material from Steps 1 through 6, complete the form headed "Strategy/Action Plan."

7. OUTLINE THE CHANGES IN BUDGETARY RESOURCES REQUIRED (IF ANY) TO ACCOMPLISH EACH STRATEGY.

   1. This step advises the dean or administrator of the kinds of budgetary decisions and approvals he will be asked to make during the annual budgeting process.

   2. This step does <u>not</u> ask for a full detailing of money and faculty/staff requirements.

   3. This step should allow the administrative review to focus attention on <u>changes</u> in budgetary resource levels or on plans for <u>reallocation</u> within your department.

   4. Enter the outline of budgetary resource changes on the form, "Proposed Changes, Budgetary Resources."

8. SPECIFY SERVICES REQUIRED FROM OTHER UNIVERSITY UNITS.

   1. For each strategy/action plan, identify additional support services that will be required.

   2. Describe what your department will need in these categories:

Library	External Funding Assistance
Media and Instructional Services	Space Assignment
Computing Center	Facilities Remodeling or
Printing and Publications	Construction

   3. Complete the form headed "Support Services, Narrative Description."

   4. As early as possible, send a draft copy of each such form to the affected support departments so they may have time to incorporate this in their planning and budgeting.

9. ASSIGN PRIORITIES TO YOUR STRATEGIES.

   1. Establish priorities as to the importance of each strategy/action plan to your total department planning goals.

   2. Work with your dean or administrator to develop the best means of communicating priorities attached to each plan element.

10. PROPOSE OUTCOME MEASURES AND EVALUATION METHODS.

   1. State the result or results desired for a given strategy to indicate the accomplishment of an objective.

   2. Report this on the form, "Identification of Planned Outcomes."

11. SUMMARIZE PROPOSED CHANGES IN BUDGETARY RESOURCES.

   1. Collect from Step 7 the information on budgetary changes.

   2. Enter the totals for each strategy on the form, "Summary of Proposed Changes, Budgetary Resources."

THE ANNUAL BUDGET REQUEST. Instructions for the submission of annual budget requests will be prepared each year on the basis of the latest information available on estimated revenues for the year in question. The procedure will of necessity be different for the first year of a biennium (when the Legislature will still be in session at the time budgets are being prepared) and for the second year of a biennium (when appropriated amounts for the fiscal year are known well in advance of budget time).

The previous two steps in the process have outlined actions to be taken by your department. In this case, the following steps are outlined for your information and understanding of the process. These do not, however, provide instructions for the department to follow.

1. PREPARE REVENUE ESTIMATES FOR THE FISCAL YEAR.

   1. Make current funds estimates for educational and general funds, pledged auxiliary enterprises, and nonpledged auxiliary enterprises.

   2. Develop enrollment forecasts for semester credit hours for the full fiscal year.

   3. Propose fee increases, if any, for Cabinet and Board approval and for inclusion in the revenue estimates.

   4. Where possible, estimate the impact of revenues from outside the current funds group, including possible transfers from plant funds, TCOM funds, and external funds.

2. FROM THE UNIVERSITY FIVE-YEAR AND ONE-YEAR PLAN DOCUMENTS, PREPARE A LISTING OF UNIVERSITY PRIORITIES TO GOVERN BUDGETARY DECISIONS. (See Appendix D for 1979 Example.)

3. EACH VICE PRESIDENT WILL PREPARE A FIRST-RUN BUDGET FOR HIS DIVISION.

   1. Departments will base requests on their annual plans and on responses to university and departmental priority statements.

   2. Each vice president will prepare instructions appropriate for his division for incorporation of departmental and university priority considerations into the budget requests.

   3. Each vice president will make allocation recommendations within his approval area based upon priorities and objectives planned by his budget departments and those for his area as a whole.

4. THE PRESIDENT'S CABINET WILL IDENTIFY IMPORTANT PROGRAMS FOR WHICH INADEQUATE FUNDS DO NOT APPEAR TO BE AVAILABLE WITHIN THE APPROPRIATE FUND GROUP OR ELEMENT OF COST.

   1. The source of support for any such program should be agreed upon prior to any subsequent budget run.

   2. A pooled reserve will be created by planning the first run of the budget so as not to utilize all of the amount in the revenue estimate. This reserve is intended to provide greater latitude in making allocation decisions based on program excellence or program improvement at the department level or at the university program level.

5. UNEXPECTED BALANCES MAY BE PLANNED FOR FUTURE ALLOCATION BUT NOT IN ANTICIPATION OF AVAILABILITY FOR THE BUDGET YEAR.

6. PREPARE REQUESTS FOR SPACE ASSIGNMENT OR RENOVATION AS PART OF THE ANNUAL BUDGET REQUEST.

DEPARTMENTAL DEADLINES. In the current 17-month planning and budgeting cycle, it has been pointed out, some groups will be engaged in the full process outlined in this guide, while others will be entering the process for the first time. While the calendar for major segments of the process is shown in Figure 4, it may be helpful to have significant deadlines for departmental planners indicated separately. Such a schedule is listed below, together with an indication of the major points on the academic calendar.

SCHEDULE OF IMPORTANT DEADLINES FOR DEPARTMENTS

1978	FIVE-YEAR PLANNING PHASE	
MARCH		
20	Pilot Departments Begin Review of Five-Year Plans	
MAY		
13		SPRING COMMENCEMENT
19	Academic Pilot Departments Submit Plans	
JUNE		
5		1ST SUMMER CLASSES BEGIN
13	Deans Complete Review of Academic Plans	
16	Support Pilot Units Submit Plans	
JULY		
10		2ND SUMMER CLASSES BEGIN
14	Vice Presidents Complete Plan Review	
31	University Five-Year Plan Completed	
AUGUST		
12		SUMMER COMMENCEMENT
	ANNUAL PLAN PHASE	
28	Pilot Departments Begin Annual Plans	FALL CLASSES BEGIN
	All Departments Begin Training for 1979 Cycle	
OCTOBER		
31	Academic Pilot Departments Submit Annual Plans	
NOVEMBER		
23-25		THANKSGIVING
30	Support Pilot Departments Submit Annual Plans	
	Deans Complete Review of Academic Plans	
DECEMBER		
20	Vice Presidents Complete Reivew of Annual Plans	FALL SEMESTER ENDS
JANUARY		
31	University Annual Plan Completed	

SPRING SEMESTER 1979
ANNUAL BUDGET PREPARATION/
ALL DEPARTMENTS START NEXT 17-MONTH CYCLE

JANUARY		
15	Departments Begin Preparation of Annual Budgets	SPRING CLASSES BEGIN
	Planning Assumptions Subcommittee Begins Review	
	Mission and Goals Subcommittee Begins Review	
FEBRUARY		
28	Planning Assumptions Revision Completed	
	Mission and Goals Revision Completed	
	Departments Submit Annual Budget Requests	
MARCH		
1	All Departments Begin Five-Year Planning Process	
12-17		SPRING BREAK
30	President's Cabinet Completes Budget Review	
MAY		
12		SPRING COMMENCEMENT
18	Academic Departments Submit Five-Year Plans	
JUNE		
4		1ST SUMMER CLASSES BEGIN
15	Deans Complete Review of Academic Plans	
	Support Departments Submit Five-Year Plans	
JULY		
9		2ND SUMMER CLASSES BEGIN
13	Vice Presidents Complete Review of Five-Year Plans	
27	University Five-Year Plan Completed	

3. THE FIVE-YEAR PLAN

For departments which have already been through one cycle of this process, the task now is to review an existing five-year plan and bring it forward one more year. First-time departments will, of course, be engaged in a much more time-consuming process in the first year of plan development.

The suggested steps for development of a five-year plan are repeated in the material that follows with more detail, examples, and suggestions than were given in the preceding section. In the developmental trials, some pilot departments offered the comment that instructions were too detailed and that the suggested formats were overly restricted. Others, however, reported that they had too little guidance as to the nature of the plans expected and suggested that the Task Force provide them with more forms, more definitions, and more guidance.

This guide attempts to respond to both critiques. For the latter kinds of groups, it is suggested that careful adherence to each step in the outlines will lead toward the desired results. For the former type of department, one wishing greater planning freedom, we suggest that the basic questions be answered but that the proposed formats should not be allowed to get in the way of imaginative planning.

In neither case is process intended to be limiting in any way on the substantive content of a department's planning document. The important thing is that the department and the university succeed as well as possible in achieving the purposes of planning cited in the first chapter of this guide. In attempting this achievement, it would be well to note that an increase in the amount of money allocated to a department is not the principal indicator of success of its participation in a planning and budgeting process.

Within that context, then, these are the recommended steps for the development of a department's comprehensive five-year plan:

1. DEVELOP GOALS FOR YOUR DEPARTMENT.

The university statement of mission and of five-year goals provides the starting point for this step. This document appears as Appendix A. This statement was prepared in February 1978 by the Task Force's Subcommittee on Mission and Goals. It is supplemented by material developed from completion of the Institutional Goals Inventory by faculty and staff members during the 1977 fall semester. Terms such as goal, objective, purpose, and aim are not precisely defined in general usage and are often used interchangeably. For this guide, arbitrary definitions have been adopted as a convenience.

The nature of the distinctions drawn among three levels of university statements of intention was presented in Figure 2. From these concepts we have drawn these definitions:

The MISSION statement is the public expression of the philosophy and purpose of North Texas State University. It provides the broad basis for goal development.

A GOAL is a broad, qualitative statement about highly desirable conditions sought on a continuing basis over a five-year period.

An OBJECTIVE is a statement of a desired achievement which is specific in terms of the time of completion, results expected, means of evaluation, and the subject of the objective. Objectives support goals.

The goal statements of your department should be identifiable as operating in support of stated university goals. As such your goals represent the conceptual structure of the future development of your department. They provide the basis for program planning and evaluation. The goals, in turn, will lead you to the development of objectives which are statements of specific ends to be achieved within the planning year. In general a goal may be expected to have these characteristics:

1. *Is consistent with the mission statement.*

2. *Is expressed in terms of results and identifies the population from whom the results are expected.*

3. *Does not specify a completion date in most cases.*

4. *Is idealistic.*

5. *Does not refer to the means that will be used to pursue it.*

Neither a goal nor an objective should be regarded only as something to be added or changed. Either may be designed to state routine targets in normal work activities, to find a solution to a problem when results are below expectation, or to create added benefits through innovative change.

The two basic activities asked in Step 1 are these:

1. Review the university mission and goals. Propose any modification or addition to the goals.

2. Prepare departmental goals. These should support and be compatible with the university goals.

You will note in Appendix A that university goals are stated in one of six program areas. These are based on the NTSU Program Structure (Appendix C). At this stage in the process, you may wish to consider the structure of your department's programs as outlined in Step 3 below. Your goals should parallel that program organization in your statement.

Here are a few examples of five-year goals that were prepared by pilot departments last year:

* Provide each student with readily available, accurate, and continual academic advising.

  (Office of Admissions and Records)

* Assist in recruitment of outstanding applied scientists from industrial, commercial, and government sectors to participate in the instructional program of the university

  (Institute of Applied Sciences)

* Maintain and develop a strong program of art appreciation and art history for both the art major and nonart major which aims at broadening the student's understanding of the development of the visual arts as a basis of his own culture and as a factor which will enhance the quality of life.

  (Department of Art)

* Provide strong theoretical and "state-of-the-art" technical curriculum in ecology, genetics, cell biology, physiology, and microbiology which, in concert with strong graduate research programs, will prepare master's students for further graduate study and careers in teaching, governmental service, and the private business-industrial sector, and doctoral students for postdoctoral studies, college/university positions, and careers in governmental service and the private sector.

  (Department of Biological Sciences)

* Provide and improve dependable, high quality, general purpose, sharable batch job processing and time-sharing computing services to meet the general-purpose computing needs of all academic and research units in a cost-effective manner that allows those units to concentrate their efforts on instructional and research activities.

  (Computing Center)

* Encourage better communication between students and staff to improve understanding of food service goals and method of operations and to provide a service that is receptive to students' wishes and needs.

  (University Food Service)

2. DEVELOP DEPARTMENTAL PLANNING ASSUMPTIONS

University planning assumptions have been developed by a subcommittee of the Task Force for the current planning period. These appear in Appendix B. Your department is asked to review the assumptions both from the university-wide viewpoint and from the perspective of your department. Propose any modification or addition which you judge would be helpful.

The rest of this section asks for completion of listings and discussions of the following items:

2. Discuss the implications of the university planning assumptions for your department.

3. Develop and state any additional assumptions about the external and internal environment which are unique or of special importance to your department. Include in this presentation the impact of any university, state, or federal policies of significance to your programs.

4. Based on these analyses, what problems, opportunities, and constraints do you identify that your department will take into account in planning for the next five years?

An example of how an organizational unit may develop planning assumptions in addition to those of the university is offered below. These statements are extracted and adapted from a five-year plan developed for 1978-83 by the College of Business Administration. The first group of examples is from a section on the external environment:

* The increased competition for students will require a stepped up recruiting and communication program with high schools, community colleges, and other sources of students.

* Senior colleges and universities in the North Texas region will become more competitive, resulting in strengthening certain established areas, introducing new programs, and reducing the emphasis or actually dropping programs where feasible.

* Community college programs will continue to expand rapidly in business-related instructional and public service areas at lower-division college levels, as well as in the number of elective business courses normally taken at the junior level. This trend together with AACSB requirements will result in a better definition of transferability standards.

* The number of female, minority, and foreign student applications will increase.

* There will continue to be a large commuting population of students in the CBA, especially those seeking undergraduate degrees.

* A large proportion of CBA students will continue to work part-time or full-time, although full-time students will have an increasingly difficult time maintaining a full-time job.

* The need for closely integrated job experience with formal classroom coursework will become increasingly important leading to an increase of internships and cooperative education assignments.

* Continuing education needs will become relatively more important in years ahead. Certification requirements of professional bodies will increasingly require continuing education for recertification.

* A closer working relationship will be fostered between the faculty and executives and professionals in the business community and in government. There will emerge professional, school-like structures in which there will be increased involvement by "practitioners" in such areas as review of entry and exit standards, review of course content, seminar participation, research project involvement, and the like.

* Demand for graduate programs will continue strong-- MBA and other master's programs will be in continued strong demand with many alternate undergraduate fields supplying students. Ph.D. graduates for certain fields (notably accounting, finance, marketing, and administrative policy) will continue to be in demand as teachers and as high level staff and professional employees.

* The majority of CBA bachelor's and master's graduates will seek employment in various metropolitan areas of the southwest region, and especially in the Dallas-Fort Worth area. Doctoral graduates will seek positions in dispersed locations throughout the nation.

* The types of business and administrative career opportunities available for program reference especially in the southwest region will provide a needed focus for insuring relevance of instructional, research, and service activities for both students and faculty of the CBA.

* Graduates majoring in one field often take jobs in another field of business or public service, emphasizing the need for broadly based core courses, interdisciplinary study, and continuing education.

College of Business Administration assumptions concerning factors internal to the university included these examples:

* Enrollment in CBA is likely to stabilize at a level only slightly higher than present level but with graduate enrollment constituting an increasing proportion.

* The CBA will continue to schedule an evening BBA in general business as well as an executive MBA scheduled at a non-traditional time.

* The CBA will continue to emphasize academic advisement by trained professionals as well as professional field advisement by members of the faculty.

* Some new graduate programs may be started for those areas in which there is a high demand and for which a concentrated educational experience is required. Examples include extractive industries' accounting, health care administration, fashion design and merchandising. In most cases such programs will be developed by including a limited number of specialized courses in addition to an established business core.

* Because of knowledge and technology expansion, an increasing proportion of faculty time and effort will be devoted to maintaining professional competence.

* Research and publications will become increasingly important in the professional growth of the faculty, especially the graduate faculty.

* An increasing proportion of funding for research will come from private sources rather than from state appropriations.

* An increasing proportion of the faculty will achieve national eminence through textbook and research publications.

* An increasing proportion of the faculty will achieve national eminence through leadership in professional associations, in public service, and in private corporations.

* The University and the CBA will continue to provide increased computer capability both for instruction and research. This will include interactive, optical terminals in the CBA buildings, which are readily available to faculty and students, as well as a central computer facility with appropriate professional counsel and equipment availability at scheduled times.

* Changing educational delivery systems and formats are to be expected, for example: interactive video systems, team teaching, flexible schedules, multi-campus locations, and other approaches to meeting educational needs through available technology and innovative methods.

* The overall organization of the CBA will not be changed, although the major thrust programs within the academic departments and PDI will likely be changed, causing possible minor shifts of academic disciplines and/or personnel.

3. IDENTIFY AND ORGANIZE YOUR DEPARTMENT'S PROGRAMS AND FUNCTIONS

In this step you are asked to complete the form, "Outline of Department Programs and Functions." This form is intended to assist in identifying all of your department's functions and structuring them for analysis and communication purposes. A copy of the March 1978 NTSU Program Structure appears as Appendix C for your use in this stage. You will need to use the following terms in this work:

A PROGRAM, in the context of the Program Structure, is an aggregation of activities serving a common set of goals. The six programs are instruction, research, public service, academic support, student services, and institutional support. These programs and their subprograms may or may not relate directly to the budget in the NTSU organization.

A SUBPROGRAM is a subdivision of a program. For example, library services, educational media services, and academic computing support are subprograms of the academic support program.

A DEPARTMENT FUNCTION is an activity or set of activities within a single budget unit contributing to the goals of a subprogram.

In completing the outline of programs and functions, the Task Force suggests these procedures:

1. Consult the NTSU Program Structure and identify the programs and subprograms toward which your department plans to contribute. The statement of university goals by programs may help you to identify these. Remember that you should not be limited by your unit's location in the organization chart in identifying program goals for your department.

2. For each applicable institutional program and subprogram, identify your department's programs. (One of your unit programs may be stated as the same as a subprogram or it may be worded in a manner unique to your unit.)

3. List the department functions that are involved in the accomplishment of the goals of each of your unit's programs. If you are making use of the Deegan and Fritz book, MBO Goes to College, it may be helpful to identify "Unit Function" with the concept of "Key Result Area." Deegan and Fritz suggest that we don't measure the entire output of a given program, but rather break it down into component parts. Those discrete parts are called key result areas. A key result area is the answer to the questions, "What is it I am trying to measure?" "What are the things I am accountable for?" "What are the major component parts of my job?" (p. 136).

Although the notion of functions or key result areas may seem quite straightforward, their identification is not necessarily easy. In fact, much of what a department does or will do usually requires careful thought in reflecting the philosophy and interests of its members. Completing this step in the planning process can serve to begin identifying the department's needs and priorities through an investigation of what the department intends to do.

The NCHEMS publication, Academic Unit Planning and Management, suggests (p. 20) several questions that need to be addressed at this stage. These are intended for the guidance of the chairman or director and staff of each department, not as questions to be answered directly in the planning document. These might be adapted to the NTSU process as a checklist for all planning units, whether academic or support departments, as follows:

1. Are there any functions that your unit would like to discontinue? Any new ones for inclusion?

2. Should current functions be carried out with the same level of resources and activity?

3. Are the goals and objectives of your unit congruent with the university mission and goals? If certain areas are not, how can they be made congruent -- or, how can the university mission and goals be reassessed and perhaps changed?

4. Does the outline of programs and functions adequately reflect your department's direction and implicitly suggest the unit's present position -- that is, where the unit is and where it wants to go?

5. Are there any needs or priorities to be met by the unit that are not described by any of the functions in the inventory of unit functions?

6. To whom should your unit's functional inventory be communicated? Is there a need to get together with other units to reach some common understandings about unit operations?

7. How can you best involve faculty and staff in the unit plans? Can this inventory process be used to stimulate their further involvement?

Examples drawn from reports submitted by three pilot departments have been adapted to the suggested format for your guidance. They appear on the following pages.

DEPARTMENT: Art

FIVE-YEAR PLAN, FISCAL 1979
OUTLINE OF DEPARTMENT PROGRAMS AND FUNCTIONS

UNIVERSITY PROGRAMS AND SUBPROGRAMS	DEPARTMENT'S PROGRAMS (May be the same as the subprogram, or may be unique to the unit.)	FUNCTIONS
1.0 INSTRUCTION		
1.1 General Academic Instruction	Credit Instruction	Professional Courses Laboratory Experience Service Courses Development of New Instructional Tools and Approaches
1.2 Community Education	Community Education	Community Education
2.0 RESEARCH		
2.2 Individual or Project Research	Individual or Project Research	Research Problems Creative Activities
3.0 PUBLIC SERVICE		
3.2 Community Services	Public Service Functions	Consultation Provision of Interior and Graphic Services Conducting Tours Jurying Exhibiting/Showing
4.0 ACADEMIC SUPPORT		
4.1 Library Services	Library Materials	Selection of Book and Nonbook Materials
4.2 Museums and Galleries	Gallery/Exhibition	Gallery/Exhibition Management Permanent Art Collection Lending Art Work Patron Groups Fashion Collection
4.3 Educational Media	AV Program	Provision of AV Hardware/Software for Instruction Slide Library

DEPARTMENT: Art (Continued)

FIVE-YEAR PLAN, FISCAL 1979
OUTLINE OF DEPARTMENT PROGRAMS AND FUNCTIONS

30.

UNIVERSITY PROGRAMS AND SUBPROGRAMS	DEPARTMENT'S PROGRAMS (May be the same as the subprogram, or may be unique to the unit.)	FUNCTIONS
4.7 Course and Curriculum Development	Instructional Program Development	Program Development and Review Curriculum Development and Review
4.8 Academic Personnel Development	Faculty Development	Recognition and Rewarding of Excellence in Teaching
5.0 STUDENT SERVICES		
5.2 Social and Cultural Development	Student Groups	Professional/Departmental Student Organizations
	Cultural Events	Student Field Trips Visiting Artists/Guest Lecturers
5.3 Counseling and Career Guidance	Student Counseling	Job Placement Referrals
5.7 Financial Aid Administration	Scholarships	Seeking and Administering Art Scholarships

DEPARTMENT: Computing Cen

FIVE-YEAR PLAN, FISCAL 1979
OUTLINE OF DEPARTMENT PROGRAMS AND FUNCTIONS

UNIVERSITY PROGRAMS AND SUBPROGRAMS	DEPARTMENT'S PROGRAMS (May be the same as the subprogram, or may be unique to the unit.)	FUNCTIONS
4.0 ACADEMIC SUPPORT		
4.4 Academic Computing Support	Instructional and Research Applications	Systems Support Academic Users Service Dispatch
6.0 INSTITUTIONAL SUPPORT		
6.4 Administrative Computing Support	Administrative Computing	Administrative Applications Data Preparation Data Control
	General Management	Computer Operations

DEPARTMENT: Rehabilitation Studies

FIVE-YEAR PLAN, FISCAL 1979
OUTLINE OF DEPARTMENT PROGRAMS AND FUNCTIONS

32.

UNIVERSITY PROGRAMS AND SUBPROGRAMS	DEPARTMENT'S PROGRAMS (May be the same as the subprogram, or may be unique to the unit.)	FUNCTIONS
1.0 INSTRUCTION		
1.1 General Academic Instruction	Credit Instruction	Lower Division Instruction Upper Division Instruction Master's Level Instruction
1.3 Community Education	Continuing Education	Continuing Education in Rehabilitation Denton County Safety Education Program
2.0 RESEARCH		
2.1 Institutes and Research Centers	Research	Vocational Evaluation Research Academic Division Research Continuing Education Research
2.2 Individual or Project Research	Research	Faculty Research Sponsored Grants
3.0 PUBLIC SERVICE		
3.1 Patient/Client Services	Client Services	Rehabilitation Testing, Evaluation, and Measurements Vocational Adjustment Services
3.2 Community Services	Community Services	Conferences
5.0 STUDENT SERVICE		
5.2 Social and Cultural Development	Student Interest Groups	North Texas Rehabilitation Association

DEPARTMENT: Development Office

FIVE-YEAR PLAN, FISCAL 1979
OUTLINE OF DEPARTMENT PROGRAMS AND FUNCTIONS

UNIVERSITY PROGRAMS AND SUBPROGRAMS	DEPARTMENT'S PROGRAMS (May be the same as the subprogram, or may be unique to the unit.)	FUNCTIONS
6.0 INSTITUTIONAL SUPPORT		
6.7 Public Relations/Development	Alumni and Constituency Relations	Development (Private Source Fund-Raising)
	Information Dissemination	Research, Data Storage, Gift Acknowledgement and Accounting
	Nongovernmental Fund Solicitation	Alumni Records
		Alumni Programming
		NTSU Educational Foundation Operations and Records

4. DEVELOP A NARRATIVE STATEMENT OF STRATEGIES FOR GOAL ATTAINMENT

It is the intention of the Task Force to provide ample latitude for each department in selecting the ways in which it wishes to outline its strategies. It may be easier for some departments to state a goal for a particular program and departmental function and then present a discussion of the strategies planned for reaching that goal. Other departments may choose to present all such narrative discussion in a single section.

The term "strategy" may be used in a short-term sense in an annual plan and in a continuing sense in the five-year plan. In the present task of outlining the longer-term plans of a department,

a STRATEGY is a statement of means to be used to achieve the goals of the university, of its programs, or of a department.

Longer-range strategies are developed in the five-year plan as the means of achieving goals or as responses to problems identified in the external environment or in trends within the university. The five-year planning document produced in August 1977, for example, identified for the university such strategies as:

> *There will be a major continuing effort to establish and maintain permanent instruction/public service centers in Dallas/Fort Worth.*
>
> and
>
> *Every academic department in the university should emphasize development of noncredit continuing education programs.*

For the individual department, selecting strategies to accomplish results probably offers the greatest opportunities for creativity of any portion of the planning process. It is here that the imagination of individuals in the department can be used to the maximum.

It is critical that alternatives be identified and considered fully in making decisions concerning strategies. To do this, information is needed. The amount and complexity of information needed is a function of the complexity and size of the department and of the risk potential of the alternatives. The major criterion for choosing among alternatives is effectiveness, balanced against cost, including human costs as well as dollars. The term "effectiveness" includes efficiency but is not limited to it. Even though this encourages the use of quantitative measures, this process nevertheless assumes there is no substitute for good judgment in decision making.

In this five-year narrative, each department is asked to consider the following questions:

1. What should be your department's contributions to the university and its constituent groups?

2. What priorities has your department established or does it propose to establish?

3. What alternative choices do you visualize as possible strategies for attaining your goal priorities? Which of these alternates do you recommend and why?

4. What changes does your unit propose for itself during the next five years? Emphasize modification of goals, changes in program content, altered target groups, new resource requirements, new methods of teaching or carrying out your activities, and probable impact on other areas of the university.

5. What are the resource requirement implications of your five-year plan in terms of:

   a. Staffing
   b. Facilities
   c. Equipment
   d. Supplies and Services

6. What plans do you have for increasing the external funding (gifts and grants) available for your department?

7. What changes do you foresee in the level or nature of your requirements for support services such as:

   a. Library
   b. Media and Instructional Services
   c. Computing Services
   d. Printing and Publications
   e. External Funding Solicitation
      (1) Research and Academic Grants
      (2) Development Activities
   f. Space Assignment
   g. Facilities Remodeling or Construction
   h. Assistance in conducting noncredit instruction

Examples of narrative statements of strategies may be found in all of the planning documents produced by the pilot planning departments last year. Several extracts are presented below to illustrate several methods of handling the process.

In the goal area of improvement of instruction, the following statements were developed for the College of Business Administration:

* Starting in FY 1979 each department will analyze the ways in which instruction can be enhanced through the appropriate use of computers. Instructional methods and requirements will be improved wherever feasible, working toward 24-hour availability, individualized, self-paced learning, and well-scheduled professional counsel.

In order to facilitate the achievement of this goal, the following will be done:

1. A fully-qualified faculty member will be assigned responsibility starting in FY 1979 to serve as a faculty tutor and as an ex officio participant on the department's review of courses and programs. Three to six workload units will be allocated to such a faculty member's assignments. The dean's and department chairmen's offices will be kept fully advised on the progress achieved in upgrading computer usage and take steps to expedite it when necessary.

2. The College of Business Administration will continue to press for an expeditious upgrading of the equipment and software in the central Computing Center plus establishing a well-manned satellite computing center in Business Building, adding to the existing five terminals at least three terminals a year for the next five years. Other accessory equipment to support the use of these terminals will be installed as needed.

3. An ad hoc committee will be formed in FY 1979 to evaluate the extent to which the more sophisticated hand-held programmable calculators can be used in place of larger computer equipment. Purchases of such calculators will be made as feasible.

The Department of Accounting and Information Systems divided its planning for each major program (instruction, research, etc.) into three sections: planning assumptions, departmental goals, and operational implications. Here are some examples from the section on the instruction program:

* Goal 2: Programs of concentration in auditing and financial accounting, managerial accounting and systems, and public sector accounting will be in place within five years to complement the tax concentration currently in place.

  Operational Implication 2: Programs and specific courses for concentration will be in place as follows:
  a. auditing, Fall 1978
  b. managerial accounting, Spring 1979
  c. public sector accounting, Spring 1980.

* Goal 5: Each course will require assignments and/or activities that will improve the student's communicative ability based on knowledge acquired in courses offered in the English and Speech Departments.

  Operational Implication 5: (a) By action of the faculty, guidelines for written and oral communication will be suggested in terms of the number of written assignments and oral discussions or presentations. (b) A review committee of faculty members will be constituted to review written and oral assignments at the request of the class instructor for those students the instructor considers deficient, and the committee may recommend remedial courses or study for specific students.

5. IDENTIFY ITEMS FOR FURTHER STUDY

It may be that some departments will identify several areas for which they hope to develop plans in more detail in the future. It could be helpful to others to know of such intentions. At this point in the plan document it would be appropriate to list issues, programs, or projects which your department wishes to include for further study in the continuation of planning activities. In addition, you are asked to suggest improvements in the planning process which would help your department.

6. DEVELOP OUTCOME MEASURES AND EVALUATION TECHNIQUES

This brings us to the most difficult component of planning: the determination of the degree of success in achieving goals. Here departmental planners are

asked to consider how to develop two techniques.

1. For each departmental goal, indicate in general the kinds of outcome measures which you believe will indicate success in achieving that goal.

2. For each departmental program, suggest procedures for evaluation of program effectiveness.

In the annual plan, these procedures will need to be sharpened into specific, operational terms. Just as general, qualitative goals lead to development of specific, quantitative objectives, so do the general outcomes sought for goals lead to the selection of specific indicators of success in achieving objectives.

At this point you are urged to turn to Appendix A and review the "Goal Outcome Areas" for each program. These statements from the IGI for this campus indicate the range of significant outcomes expected for NTSU. In these outcome categories, especially, we will need to be developing significant measures of success.

An OUTCOME is a statement of a result or results desired for a given strategy to indicate the accomplishment of a goal or an objective. EVALUATION is the process through which results are measured and compared with predetermined standards.

No component of the planning process poses as many difficulties as that of measuring the outcomes of a university's programs. Nevertheless, the current planning and budgeting process requires that such measurement and evaluation be developed. The August 1977 document, University Planning and Budgeting First-Year Report, notes the difficulty of implementing a "program of excellence" if one falls into the trap of inferring that "excellence" is synonymous with "reputation" or "prestige." That report asserts that "excellence becomes a meaningful term in the degree to which the university succeeds in stating operational objectives with measurable outcomes." This is the case, the report says, because in the context of this planning process, the term excellence is intended to indicate "success in achieving one's objectives."

For that reason, the university plan gives its highest priority to the evaluation of program success. The following section appears in the section on the instruction program:

EVALUATING PROGRAM SUCCESS. One of the major emphases in the continuing development of a planning and budgeting process in 1977-78 will be in the identification of program outcome measures. The university priorities in this area include the following:

1. *Make evaluation a visible requirement of the planning and budgeting process.*

2. *Develop university guidelines on the evaluation of programs, with emphasis on the quality of the teaching/learning process.*

3. *Increase the emphasis in program planning on the development of outcome measures, based on well-defined criteria for academic achievemer*

4. *Develop a system for periodic evaluation of each faculty member, reward outstanding achievement, and upgrade the average level of performance.*

Similarly, the strategies for the institutional support program declare that the commitment to evaluation of faculty and of instructional programs will also extend to all other program areas and to administrative personnel.

Pilot units have access to two publications that outline approaches to the definition of outcome measures. Academic Unit Planning and Management contains a module (number 6) on identifying and assessing outcomes. MBO Goes to College deals with results indicators for several categories of goals. Other guides can be obtained from the Planning and Budgeting Task Force and the Office of University Planning and Analysis.

Two years ago, an evaluation instrument known as the student outcomes questionnaire was given to each applicant for a degree at NTSU. Responses were tabulated and circulated to deans, department chairmen, and others, with a request for an evaluation of the usefulness and of any desired changes. On the basis of this trial, the questionnaire was given to every degree applicant in 1976-77. A report for the university total has been distributed to all budget units on the campus. Two sample pages to indicate student evaluation of their experiences with this university's programs are presented on the following pages. A report for each department's majors has been distributed to each department and to the appropriate deans.

Other student outcomes measurement instruments are available for use in the development of the planning process - NCHEMS, for example, has now distributed a series of such packages for longitudinal study of students from the admissions stage through graduation.

Also reproduced following this page are two pages showing the type of material presented in the NCHEMS Outcome Measures and Procedures Manual. This publication is cro[illegible]-referenced in an appendix of Academic Unit Planning and Management. An application of this approach is illustrated by page three of a sample actio[illegible] plan for the Physics Instructional Center.

SOME OPINIONS ABOUT NTSU EXPRESSED BY GRADUATES

Students graduating from NTSU for several semesters were asked to complete the "Student Outcomes Questionnaire for Program Completers." The total number of respondents in Fall '76 and Spring '77 was 1302, including 982 applying for bachelor's, 260 for master's, and 60 for doctoral degrees.

The information below is an analysis of the responses of these students to Items 23 and 24 on the questionnaire. These items are stated as follows: "There are many reasons for pursuing education, some of which are listed below. In thinking over your educational experienc how much do you think this institution contributed to your progress in each area? How important is that progress to you? (Check the appropriate . . . category.)" The mean response for each area by degree level was also calculated and is included in the report.

Detailed information by degree level is available in the University Planning and Analysis Office, #301, Administration Building.

A. INTELLECTUAL GROWTH: Your ability to understand and use concepts and principles from several broad areas of learning.

**How much did NTSU contribute to your progress in this area?

-------10%-------20%-------30%-------40%-------50%-------60%-------70%-------

(1) No Progress	0.5%	N
(2) Little Progress . . .	4.1	LLLL
(3) Moderate Progress . .	25.7	DDDDDDDDDDDDDDDDDDDDDDDDD
(4) Much Progress	49.4	MMMM

Some Opinions About NTSU Expressed by NTSU Graduates

D. EDUCATIONAL GROWTH: Your understanding of a particular field of knowledge: your preparation for further education.

**How much did NTSU contribute to your progress in this area?

-------10%-------20%-------30%-------40%-------50%-------60%-------70%-------80%

(1) No Progress . . . . . 0.4% .
(2) Little Progress . . . 2.3 LL
(3) Moderate Progress . . 16.7 DDDDDDDDDDDDDDDD
(4) Much Progress . . . . 43.6 MMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMM
(5) Very Much Progress. . 37.0 VVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVV

Mean Response: Bachelors-4.1; Masters-4.2; Doctors-4.3; Total-4.1

**How important is that progress to you?

(1) No Importance . . . . 0.2% .
(2) Little Importance . . 0.6 L
(3) Moderate Importance . 7.3 DDDDDDD
(4) Much Importance . . . 28.5 MMMMMMMMMMMMMMMMMMMMMMMMMMMM
(5) Very Much Importance. 63.4 VVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVV

Mean Response: Bachelors-4.5; Masters-4.5; Doctors-4.7; Total-4.5

E. VOCATIONAL AND PROFESSIONAL GROWTH: Your preparation for employment in a particular vocational or professional area.

**How much did NTSU contribute to your progress in this area?

(1) No Progress . . . . . 1.5% NN
(2) Little Progress . . . 7.9 LLLLLLLL
(3) Moderate Progress . . 22.9 DDDDDDDDDDDDDDDDDDDDDD
(4) Much Progress . . . . 39.1 MMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMM
(5) Very Much Progress. . 28.6 VVVVVVVVVVVVVVVVVVVVVVVVVV

Mean Response: Bachelors-3.8; Masters-4.1; Doctors-3.9; Total-3.9

**How important is that progress to you?

(1) No Importance . . . . 0.4% .
(2) Little Importance . . 0.9 L
(3) Moderate Importance . 7.1 DDDDDDD
(4) Much Importance . . . 22.8 MMMMMMMMMMMMMMMMMMMMMM
(5) Very Much Importance. 68.8 VVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVVV

Mean Response: Bachelors-4.6; Masters-4.6; Doctors-4.7; Total-4.6

F. PERSONAL GROWTH: Your development of attitudes, values, beliefs, and a particular philosophy of life; your understanding and acceptance of yourself as a person; your ability to be realistic and adaptable and to make decisions about your own future.

**How much did NTSU contribute to your progress in this area?

(1) No Progress . . . . . 2.6% NNN
(2) Little Progress . . . 9.7 LLLLLLLLL
(3) Moderate Progress . . 25.5 DDDDDDDDDDDDDDDDDDDDDDDDD
(4) Much Progress . . . . 34.9 MMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMM
(5) Very Much Progress. . 27.3 VVVVVVVVVVVVVVVVVVVVVVVV

Mean Response: Bachelors-3.8; Masters-3.7; Doctors-3.6; Total-3.7

**How important is that progress to you?

(1) No Importance . . . . 0.6% N
(2) Little Importance . . 0.7 L
(3) Moderate Importance . 5.3 DDDDD
(4) Much Importance . . . 21.8 MMMMMMMMMMMMMMMMMMMM
(5) Very Much Importance. 71.5 VVVVVVVVVVVVVVVVVVVV

C-2
MEASURE NUMBER

MEASURE NAME

STUDENT SATISFACTION WITH VOCATIONAL PREPARATION

DEFINITION

THE RESPONSES OF STUDENTS TO QUESTIONNAIRE ITEMS MEASURING THE DEGREE OF SATISFACTION WITH THEIR VOCATIONAL PREPARATION

DATA SOURCES

CURRENT STUDENTS, EXITING STUDENTS, FORMER STUDENTS

PROCEDURES

ADMINISTRATION OF A SURVEY QUESTIONNAIRE

COMMENTS

THIS OUTCOME MEASURE IS IDENTIFIED AS A POTENTIAL MEASURE OF VOCATIONAL PREPARATION (1.4.1.02) IN THE NCHEMS INVENTORY OF HIGHER EDUCATION OUTCOME VARIABLES AND MEASURES - SEE APPENDIX A

EXAMPLE OF AN OUTCOME AND ITS POTENTIAL MEASURES

OUTCOME	POTENTIAL MEASURES
1.4.1.02 Vocational Preparation The ability to seek, gain, and maintain a particular level and kind of employment.	1.4.1.02 Vocational Preparation Measures • Percentage of former students employed within _____ days after graduation (based on a former student survey) • Average first salary of former students (based on a former student survey) • Average income category for former students after _____ years (based on a former student survey) • Percentage of dropouts employed within _____ days after dropping out (based on a survey of dropouts) • Average score of dropouts on a scale measuring the degree of satisfaction with their vocational performance (based on a survey of dropouts) • Average number of professional awards and citations received by former students (based on a former student survey) • Percentage of former students in management positions by the ____ year following graduation (based on a former student survey)

ANNUAL UNIT PLAN, FISCAL 1979
IDENTIFICATION OF PLANNED OUTCOMES

Unit: Physics
Unit Function PIC

oal # I-B , Objective # 1 , *continued*

or this strategy/action plan, describe the outcome variables and target groups on which the objective is focused. A ist of outcome variables and potential measures may be found in the NCHEMS Manual, *Academic Unit Planning and Management.* he outcome measures should represent some degree of agreement within your budget unit as to what the staff believe to be reasonable approximation of their accomplishments.

OUTCOME VARIABLES	OUTCOME MEASURES		
	Description	Planned	Actual
Target group for this strategy is the undergraduate nonphysics major enrolled in a service course of the Physics Department. The outcome variables are: 1. Specialized Knowledge 2. Application of Knowledge Skills	120 students enrolled in Physics 121-122 and 131-132 will form an experimental group studying in the laboratory for Individual Audiovisual Tutorial Investigations. They will be pretested and posttested through the use of the *Undergraduate Program Field Tests: Physics Test* of the Educational Testing Service.	A significant improvement in avg. test scores as compared to a control group in a standard laboratory setting.	

4. THE ONE-YEAR PLAN

Each fall semester the departments of the university will be preparing annual plans for the fiscal year that will begin the following fall semester. Located in the middle of the flow of planning/budgeting activities, the annual plan must arise logically from the five-year plan that was developed in the preceding spring, and it must provide the justifications for the annual budget request made in the following spring semester.

Whereas the five-year plan is basically a qualitative statement of the concept of what the department should be like in the future, the one-year plan provides a specific set of activities, timetables, and quantified targets for the fiscal year. *The statement of results expected becomes the justification for the allocation of resources in the budget period.*

For the annual plans for Fiscal 1980 (Sept. 1, 1979, to Aug. 31, 1980), these are the suggested steps for departments to follow:

1. REVIEW THE UNIVERSITY FIVE-YEAR PLAN

After department and college five-year plans have been reviewed, the President's Cabinet will meet for several days as the university planning council. These sessions will lead to the development of major university strategies and priorities to be incorporated into the university five-year plan along with abstracts of the plans of the departments.

Copies of the university plan will be distributed to departments at the start of the fall-semester annual planning period. You are encouraged to make it available for discussion and study by all members of your department. This process is intended to help accomplish the first item on the list of purposes of the planning process: to lead to a clearer understanding of goals and priorities by the university community as a whole.

Appendix D, Priorities for 1979, illustrates the type of university priority statement which departments will be asked to respond to in their plan documents. It is at this stage that plan documents become of special importance in developing awareness of community and of the adoption of strategies and action plans that will be mutually supportive among departments and among administrative levels of the university.

A plan is a means of communication. The process invites further communication about the plan. We assume that most surprises in a complex organization such as a university are bad. Publication of plans helps to avoid surprises. Too often the game of academic management requires one to guess what is expected.

2. REVIEW YOUR DEPARTMENT'S FIVE-YEAR PLAN

The essence of each cycle of the planning and budgeting process (once fully established in all departments) is to review the five-year plan and extend it forward by one more year. At this stage, you are asked to review your plan for 1979-84.

Your faculty and staff should be convinced that it adequately states their goals for the next five years, that it responds to the planning assumptions you have developed, and that it is generally consistent with the university plans reviewed in step one.

If your review process suggests it, or if changing circumstances require it, a revision in some aspects of your five-year plan should be completed immediately.

3. REVIEW AND VERIFY YOUR UNIT PROGRAMS AND FUNCTIONS

In all probability your statement on the form, "Outline of Department Programs and Functions," has been prepared, reviewed and approved, and is in complete form. This step is simply a reminder that the same organizational format will be carried forward from your five-year plan to your annual plan.

4. OUTLINE YOUR DEPARTMENT'S OBJECTIVES FOR FY 1980

Your five-year statement of goals provides the starting point for this step. You will recall that goals state in broad qualitative terms highly desirable conditions sought over a five-year period. These goal statements represent the conceptual structure of future development. By way of contrast, note this definition of an objective:

An OBJECTIVE is a statement of a desired achievement which is specific in terms of the time of completion, results expected, means of evaluation, and the subject of the objective.

By way of contrast, please recall that goals state in broad qualitative terms highly desirable conditions sought over a five-year period. Goal statements represent the conceptual structure of future development.

Objectives, on the other hand, deal with specific ends to be achieved within the planning year. If at all possible, objectives should be stated in quantitative terms in a specific time frame. Objectives support program goals. Since an objective guides the allocation of resources toward the desired results, its formulation and accomplishment is the responsibility of a specific budget unit. It cannot be stated on behalf of "the university," since this fails to make clear the responsibility for accomplishment. An objective should have these characteristics:

1. *Is consistent with the mission statement.*
2. *Supports a qualitative goal.*
3. *Makes no reference to the means that will be used to pursue it.*
4. *Is judged as attainable by those charged with the responsibility for its achievement.*
5. *Specifies the results expected.*

6. *Specifies the means of evaluation.*

7. *Specifies the latest acceptable date for its achievement (within one year).*

An objective is sometimes mistakenly regarded only as something to be added: a request to a group to state its objectives may seem to suggest that "we know what your regular purposes and activities are; how are you going to do more?" This is not the case. Rather, you may wish to develop three classes of objectives: routine concerns, problems to be solved, and innovative or developmental projects.

Suggestions on how to state each of these may be found in Deegan and Fritz, MBO Goes to College, p. 160. An adaptation of these suggestions to the NTSU annual objective process might be charted in this manner:

CLASS	WHAT IT CONCERNS	TYPE OF COMMITMENT
1. Routine (Regular)	Normal work output	To meet standards
2. Problem-solving	Results below par	To find a solution
3. Innovative	Something new (change)	Added benefits

Further guidance may be obtained from plans developed by pilot units. The work of the pilot units confirms the difficulty of stating objectives in operational terms and of assigning quantitative goals and outcome measures to each objective. This is not unique to NTSU, nor even to higher education. Any organization which seeks to plan and budget on the basis of definable objectives and measurable results may expect to encounter such difficulties. With experience, however, substantial improvement in defining objectives and outcomes can be expected.

A common problem we have experienced is distinguishing between an objective and a strategy or activity. In a few cases this distinction may not be important. In general, however, we cannot make effective planning use of an isolated statement that a department plans to offer six orientation sessions for new faculty, that an office plans to mail 17,000 fund-raising brochures, or that a staff expects to purchase modernized calculating equipment during the year. Each of these specifies an activity or strategy without making clear the intended results.

We cannot pretend that it is simple to develop good statements of objectives. In many areas of academic concern, the results are viewed as intangible, difficult to measure, or not immediately realizable. In such cases, the effort is not confined to a statement of measurable outcomes but also includes a search for satisfactory techniques for evaluating qualitative characteristics. In the administrative support areas, many offices have as their output objective the conducting of an activity to assist other campus programs. In these cases, objectives need to move beyond counting the number of services performed and include indicators of success in meeting the needs of those being served.

Those indicators of success might be stated something like this:

"This objective will be considered achieved when the following conditions exist."

The examples presented below are drawn (or adapted) from plans developed in 1977 by pilot units. Not all of these statements have all of the seven desired characteristics of an objective listed above. Each does, however, provide a reasonable indication of the kinds of results each of these units hopes to achieve within one year.

- To develop additional external funds to support all research goals in biological sciences; the achievement of the objective will be indicated by (1) the number of new proposals submitted during the year (compared to prior year); (2) the number and total dollar amounts of new awards (compared with prior year); and (3) increase in the proportion of graduate students paid a stipend from extramural funds.

  (From Biological Sciences, which also developed a number of more specific "achievement markers" to be accomplished by strategies in support of this objective.)

- To ensure that federal equal employment opportunity regulations regarding public listing of on-campus student jobs are complied with by every university department by December 1977.

  (From the Dean of Students Office, as an objective of the sub-program, Financial Aid Administration.)

- To increase by at least six percent the rates of textbooks sold to textbooks purchased.

  (From the University Store, as an objective in support of its goal of providing auxiliary teaching/learning support on a self-supporting basis.)

- To make it possible for the university to offer courses in quantity cookery, institutional equipment, and institutional management by using food service facilities in dormitories as laboratories and food service staff as instructors for XX students each semester.

  (From the Food Service plan, in support of the instruction program.)

- To increase the level of service to patrons of the Avesta Lounge in the Union, as measured by an increase in the record and tape collection of 25 percent each year, an increase in the schedule of two hours per day, a doubling of the service staff during peak hours, and provision of parts replacement and equipment repair in an annual amount equal to 10 percent of the equipment value.

  (From the NTSU Union, in support of its goal of providing a variety of cocurricular educational programs, activities, and services.)

- To insure that students completing the sophomore news reporting course meet minimum standards of proficiency, as measured by tests in typing, grammar, spelling, and writing.

  (From the Journalism Department, in support of its goal of improving the quality and reputation of the journalism instruction programs.)

- Students who complete the degree program and who make appropriate personal effort should be able to successfully meet the professional entrance standards such as the examination for certified public accountant.

  (From the Department of Accounting and Information Systems.)

- Upgrade gift income levels by 50 percent overall, with special emphasis in time and personnel placed on faculty and scholarship endowments and unrestricted gifts (Century Club, President's Council, Dean's Progress Funds, Loyalty Fund.)

  (From the Development Office.)

- The Professional Development Institute will provide discretionary funds to support academic programs in the College of Business Administration through the generation of funds in excess of requirements for all direct operating expense and a payment to the university of a negotiated overhead cost for space, utilities, and custodial service.

  (From the Professional Development Institute, College of Business Administration, the institutional support program.)

- To complete filming and file insertion of all fall 1976 and spring-summer 1977 permanent record cards.

  (From the Registrar's Office, in support of a five-year goal to microfilm all student files currently in remote storage and to maintain all current student records on a timely basis in microfilm.)

- To develop by May 1978 a glossary of terms for art techniques so that the same vocabulary and concepts can be used in art studio classes and art history classes starting with the fall semester of 1978.

  (From the Art Department, in support of several instructional goals, including one "to maintain and develop a strong program of art appreciation and art history for both the art major and non-art major. . . .")

- To develop in the fall semester 1977, under contract with the city of Denton, valid and reliable citizen survey instruments for the collection of information useful to public officials, the instrument produced to be capable of modification for use elsewhere.

  (From the Applied Policy Research area of the Institute of Applied Sciences, in support of its goal "to increase the knowledge and understanding of the formulation, implementation, and impact of public policy, particularly at the state and local levels.")

- To complete by April 1, 1978, field and literature research to develop a general ecological model of Clover Creek at McChord Air Force Base which will help provide the biological component of a water quality assessment model for streams on an AFB installation.

  (From the Environmental Systems program area of the Institute of Applied Sciences in support of a number of goals, including one "to foster outstanding multidisciplinary research in basic and applied social, biological, and physiochemical environmental sciences.")

- In carrying out its primary function of vocational assessment, diagnosis, and guidance for handicapped persons, the Vocational Rehabilitation Center will provide learning laboratory services as follows:

  Applied experience in vocational evaluation for 12 undergraduate students.

  Observational experience in vocational evaluation for 35 undergraduate students.

  Practical work experiences in vocational evaluation for two graduate students.

  Hands-on training in vocational evaluation for 20 continuing education participants.

  (From the Center for Rehabilitation Studies in support of its general academic instruction and community education program goals.)

- By the end of the planning year, increase university revenue from nongovernmental sources from $1.2 million to $2 million.

  (From the Development Office.)

5. LIST STRATEGIES FOR YOUR OBJECTIVES

A STRATEGY is a statement of means to be used to achieve the objectives of the budget unit.

Longer-range strategies are developed in the five-year plan as means of achieving goals or as responses to problems identified in the external environment or in trends within the university. (See chapter 3, part 4.)

In the annual plan, however, a strategy is regarded as the way to accomplish the result specified in an objective. It is thus necessary that the development of strategies follow the other steps. If we start the process with a strategy, we tend to develop a set of objectives to justify the particular strategy. This suggests that we should not make ends of such strategies as "interdisciplinary studies," "computer-aided instruction," or "common academic calendar." Rather, these are means to be employed to solve a problem, to meet an objective.

Your unit strategies should lead to development of an action plan as the sixth step in this process. Examples of strategies from NTSU unit plans appear below.

* Develop food and beverage vending machine area for use by students when food service lines are closed.

  (From the Union, supporting food service improvement objectives.)

* Provide registration and orientation assistance to handicapped students. Conduct campus-wide handicap awareness programs. Provide developmental minicourses for handicapped students.

  (From the Dean of Students Office, supporting objectives of service to the handicapped.)

* Provide a seminar for faculty and doctoral students, with the students required to attend as part of their program. The faculty will be expected to attend on a regular basis. The seminar will be a forum to present research proposals, progress reports on research results, and other scholarly activities. A faculty member will be assigned to be in charge of the seminar on an annual basis, and this will be considered a part of his teaching load.

  (From the Department of Accounting and Information Systems, supporting the objective of establishing an atmosphere where new ideas are generated and exposed to discussion and criticism--in turn, supporting the goal for encouragement of faculty and doctoral student research.)

* Involve faculty systematically in direct rehabilitation client services; establish regular participation in in-service training as a criterion for promotion and tenure.

  (From the Center for Rehabilitation Studies, supporting an objective of maintenance and improvement of instructional skills.)

* Participate in the fashion lecture series sponsored by the Texas Commission on Natural Fibers and Food Proteins.

  (From the Art Department, supporting an objective of bringing in visiting designers and industry specialists as guest lecturers and teachers in the professional design programs.)

* Convert several sections of Economics 110 and 111 to the Teaching Information Processing System.

  (From the Economics Department, toward the objective of improving instruction techniques in the freshman principles course, supporting the goal of reducing economic illiteracy.)

* Update the R-41 computer terminal program so that academic standings of students can be more accurately monitored in conjunction with the new grade reporting program and new academic standards effective Sept. 1, 1976.

  (From the Office of Admissions and Records, supporting a series of objectives clustered under the goal of providing each student with readily available, accurate, and continual advising.)

* Treatment of raw water with O_3 and O_3/UV, measure THM-precursor decay; treatment of water containing PCB, PAH, $CHCI_3$, $CHCI_2Br$ and other organics; measurement of rates or decomposition and oxidized products; analysis of data and design of optimum reactor for use in water plants.

  (From the Institute of Applied Science, for accomplishing a series of four objectives in a research project on oxidation of water supply refractory organics by ozone with ultraviolet radiation.)

* Schedule examination and discussion of promotion policy at annual retreat for Arts and Sciences departmental chairmen; incorporate suggestions into revised statements; circulate revised statements to faculty for response; prepare a policy document on promotion.

  (From College of Arts and Sciences, Office of the Dean, supporting objective to clarify existing statements on tenure and promotion.)

* Solicit recipes and suggestions from international students; include at least five authentic ethnic meals during the academic year in residence hall cafeterias.

  (From the Food Service, implementing an objective to enhance students' cultural experiences by making a specific effort to include foods of international nature.)

6. OUTLINE AN ACTION PLAN FOR EACH STRATEGY

An ACTION PLAN is an explicit statement of work to be accomplished to complete a strategy.

Action plans are the final step in translating the mission of the university into the day-to-day activities of the people who make up the organization. As a minimum the action plan should contain the following elements:

1. *A clear statement of the activity to be accomplished.*
2. *A time schedule.*
3. *The assignment of the responsibility to an individual.*

The purpose of an action plan is to obtain a written record of assignments, time schedules, and resource commitments as well as a description of the activities necessary to implement a strategy. Illustrated on the next page is a sample plan document for the Physics Department, utilizing a unit function indentified as "Physics Instructional Center." This form, headed "Strategy/Action Plan," contains spaces in which to enter the following items from previous steps in the planning process:

University Goal:	From Step #1 above.
Unit Goal:	From Step #2.
Program, Subprogram, and Unit Function:	From Step #3.
Objective:	From Step #4.
Strategy:	From Step #5.

The bottom of the form then provides three columns for the outline of the three basic steps of the action plan: statement of the activity to be accomplished, the assignment of responsibility to an individual, and a time schedule for the completion of each activity.

In many cases, a department may wish to present some or all of its action plans in a different format - one the department judges more appropriate to its needs. This will be quite satisfactory so long as the component parts of the action plan listed above are included.

SAMPLE PLAN DOCUMENT. This material was prepared from material contained in Physics Dept. planning documents. The project is an actual one, but the format, dates, costs, etc. have been modified to illustrate use of this form.

ANNUAL UNIT PLAN, FISCAL 1979

STRATEGY/ACTION PLAN

Unit: Physics
Program: 1.0 Instruction

Subprogram: General Academic Instruction
Unit Function: Physics Instructional Center

University Goal # I-B	Maintain a wide range of educational programs delivered in both traditional and distinctively creative modes and structures.
Unit Goal # 1, 2	To increase the understanding of the undergraduate nonphysics major of basic physics and to improve the student's attitude toward the study of science and of physics.
Objective # 1	To increase the undergraduate student's understanding of the basic natural laws central to the study of physics, as measured by change in performance on the ETS undergraduate physics test.
Strategy	Create a Physics Instructional Center (PIC) to provide the undergraduate with an individualized instructional mode using self-paced modules.

ACTIVITY	RESPONSIBILITY	DUE DATE
1. Select five national consultants to assist in program planning.	Smith	10-1-78
2. Complete renovation of physical space for PIC.	Jones	5-30-79
3. Conduct training workshops for faculty.	Smith	2-1-79
4. Complete preliminary design of instruction modules.	Williams	5-15-79
5. Produce first film loops and TV tape for Physics 131.	Jones	8-15-79
6. Administer ETS undergraduate physics examination to each student enrolled in sections 1, 2, and 5.	Williams	8-29-79
7. ETC.		

7. OUTLINE THE CHANGES IN BUDGETARY RESOURCES REQUIRED (IF ANY) TO ACCOMPLISH EACH STRATEGY

A major function of the annual plan is to tell the administrator who supervises your unit about your intended directions for the next year. Step seven should give him an idea of the kinds of budgetary decisions and approvals he will be asked to make about your unit during the annual budgeting process.

In the long run, step seven should make the process easier for both the unit and the administrator. It should stimulate discussions between the unit and the administrative reviewer about the desirability and feasibility of strategies, about potential funding sources, and about the probabilities of obtaining university approval (if needed) for the plans.

RESOURCES are the money, personnel, facilities, time and authority that can be used to achieve the mission and goals of the university.

This step emphasizes the first two of these resources: money and personnel, the budgetary resources. These will later be specified in great detail in the annual budget request in the spring. Step seven does <u>not</u> ask for a full detailing of money and staff requirements. It should allow your dean, vice president, or other reviewer to focus attention on <u>changes</u> in budgetary resource levels.

The statement which accompanies your strategy/action plan could take one of several forms. Some examples might include:

1. This strategy can be accomplished with existing personnel and with no additional operating expense.

2. This strategy is planned to carry out a cost-saving objective. The staff time or budgetary cost reduction which results will be reallocated within this unit to the accomplishment of another strategy, _____ (specify).

3. The increased cost for this strategy will be handled with funds gained by dropping an activity in the unit that is judged no longer of benefit.

4. Additional funds will be needed to increase faculty or staff and/or support increased operating expense.

In the last case, you should indicate job positions required and the nature of the major categories of operating budget increase needed. To the best of your ability the probable source of funds should be indicated: whether from university appropriations, from earned income (auxiliary enterprises, service departments), or an external source (federal grant, private gift).

A sample form, headed "Proposed Changes, Budgetary Resources," appears on the next page.

Page ___

ANNUAL UNIT PLAN, FISCAL 1980
PROPOSED CHANGES, BUDGETARY RESOURCES

Unit: _____

Goal # ___, Objective # ___, Strategy # ___

Unit Function: _____

Indicate briefly below whether any budgetary changes are proposed for the accomplishment of this strategy. If so, indicate the nature of the proposed provisions for such changes.

PART ONE: Check one of the responses below, filling in the blank if indicated for the response you choose.

___ 1. This strategy can be accomplished with existing personnel and with no additional operating expense.

___ 2. This strategy is planned to carry out a cost-saving objective. The budgetary reduction which results will be reallocated within this department to accomplish another strategy, _____

_____ (Specify) _____

___ 3. The increased cost for this strategy is indicated below. It will be handled with funds gained by cost-saving or by dropping an activity within the department, as follows: _____

_____

___ 4. Additional funds are requested to increase faculty or staff and/or support increased operating expense, as indicated below.

PART TWO: Indicate the budget changes proposed.

1. The following additional personnel will be needed (list by job title and proposed salary):

2. The following maintenance and operation expense will be needed (indicate major categories, such as capital outlay, travel, etc.):

3. The probable source of funds will be: ___ Appropriated funds. ___ Auxiliary enterprise income. ___ External sources. Specify source of grant or gift: _____

8. SPECIFY SERVICES REQUIRED FROM OTHER UNIVERSITY UNITS

In some cases a unit cannot begin to implement a plan without some assurance of services and assistance from various support departments on the campus. The annual plan document should serve in the fall to communicate these needs to the support units so that the annual operating budget decisions in the spring may be made to reflect the university's commitment to a given program strategy/action plan.

A form, "Support Services, Narrative Description," is suggested for your use in identifying the support services your plans will require. This should describe what your unit will need in the following categories:

1. Library
2. Media and Instructional Services
3. Computing Center
4. Printing and Publications
5. External Funding
   a. Research and Academic Grants
   b. Development Activities
6. Space Assignment
7. Facilities Remodeling or Construction
8. Assistance in Conducting Noncredit Instruction

On the following page there appears a sample form based on the action plan shown earlier for the Physics Instructional Center. This statement does not presume to identify in all detail the various requirements -- it does serve to establish communication between the planning unit and the supporting units as to the joint planning/budgeting activity that will be required to implement the activities.

You are encouraged to send a draft copy of this statement to each affected support department as early as possible so that each such unit may have ample lead time to incorporate your requirements into its planning and budgeting cycle. In future cycles, as the schedule indicates, the academic units will be submitting full plans ahead of support units in order to accommodate this need.

ANNUAL UNIT PLAN, FISCAL 1979
SUPPORT SERVICES, NARRATIVE DESCRIPTION

Unit: Physics

Unit Function: PIC

Goal # I-B, Objective # 1, *continued*

Describe briefly the added support services needed for the accomplishment of this strategy/action plan. Include as appropriate services of (1) Library, (2) Media and Instructional Services, (3) Computing Center, (4) Printing and Publications, (5) External Funding -- a. research & grants; b. development activities, (6) Space Assignment, and (7) Facilities Remodeling or Construction. Costs and quantities for all of your unit plans should be totaled and entered on Worksheets 1 and 2.

1. LIBRARY. This project focuses on creating a laboratory for Individualized Audiovisual Tutorial Investigations. As such, it will not cause a demand for additional print materials in the NTSU Library. There will perhaps be some occasion for cooperative activity with the Media Library.

2. MEDIA & INSTRUCTIONAL SERVICES. Heavy support activity will be needed from the Center for Instructional Services, which has been involved in developing plans for this project. Cooperation has also been extended by the TV instructional staff in the Speech Dept. Large amounts of software for the instructional technology systems will be produced for this project. Although the bulk of the work will be done by project staff, considerable technical assistance will be needed from the CIS.

3. COMPUTING SERVICES. The plan does not require computer terminal connections for the first year. Contact will be maintained with the Computing Center concerning possible introduction of computer-aided instruction via CRT terminals in subsequent years.

4. PRINTING AND PUBLICATIONS. Our NSF grant application provides a $6,000 budget for publication and dissemination. We anticipate that this would require design assistance from the Public Information Office and the printing of a substantial quantity of printed materials either through the Copy Center or the University Printing Office.

5. EXTERNAL FUNDING. The basic grant requests have already been submitted through the Office of Research and Academic Grants. No added services are expected for Fiscal 1979, although federal renewal applications and proposals to private foundations through the Development Office may be expected in two to three years.

6. SPACE ASSIGNMENT. Two general classrooms and five faculty offices will be needed to replace the area proposed for remodeling for the PIC.

7. REMODELING. Extensive renovation of the north wing, second floor of the Physics Building will be required to provide the laboratory and the necessary utility connections for the audiovisual tutorial stations. We have obtained a feasibility report and cost estimate from the Planning Office and the university architect. The NSF grant will provide equipment but may not be used for building alterations. $55,400 is requested from university bond funds for this purpose.

9. PLACE YOUR STRATEGY/ACTION PLANS IN PRIORITY ORDER

This step calls for your unit to establish a statement of priorities in order of importance to your total unit planning goals. In some cases this may be accomplished by ranking strategy/action plans in rank order; in others it may be done by ranking resource requests in rank order within each strategy/action plan.

Some pilot units last year used a modified "zero-base" approach by stipulating the level of accomplishment that could be anticipated at each of several levels of provision of resources.

Still other pilot units categorized each major plan segment into one of three levels of priority: urgent, necessary, and desirable.

At this stage in the development, no precise form of stating the details of priorities is suggested here. Until more work is done, the Task Force judges that each unit and its dean, supervisor, or vice president can probably best work out the means of communicating the degree of importance attached to each plan element.

10. PROPOSE OUTCOME MEASURES AND EVALUATION METHODS

You are referred once again to Step 6 in Chapter 3 on the five-year plan outcomes. The same principles govern the designation of intended results in the annual plan.

In this case you are asked to state the result or results desired for this strategy to indicate the accomplishment of an objective within the time frame of the action plan. If appropriate to your department, enter your statements on the form, "Identification of Planned Outcomes."

11. SUMMARIZE PROPOSED CHANGES IN BUDGETARY RESOURCES

The purpose of this step is to tabulate in summary form the information for each strategy/action plan developed in step seven. This should provide the dean or administrative supervisor for your department with a total of net resource changes proposed for the year.

This information may be entered on the form, "Summary of Proposed Changes, Budgetary Resources."

Page ____

ANNUAL UNIT PLAN, FISCAL

IDENTIFICATION OF PLANNED OUTCOMES

Unit: _____

Unit Function _____

Goal # _____, Objective # _____, *continued*

For this strategy/action plan, describe the outcome variables and target groups on which the objective is focused. A list of outcome variables and potential measures may be found in the NCHEMS Manual, *Academic Unit Planning and Management*. The outcome measures should represent some degree of agreement within your budget unit as to what the staff believe to be a reasonable approximation of their accomplishments.

OUTCOME VARIABLES	OUTCOME MEASURES		
	Description	Planned	Actual

Page _____ ANNUAL UNIT PLAN, FISCAL Unit: _____

SUMMARY OF PROPOSED CHANGES BUDGETARY RESOURCES

Enter below the total changes estimated in each budget category for your department's annual plan components, as listed previously in the forms headed "Proposed Changes, Budgetary Resources." If decrease, indicate in parentheses.

Strategy/Action Plan	Increase (Decrease) Faculty and Staff		Maintenance and Operation	Travel	Capital Outlay	Other Expense
	FTE	Dollars				

5. THE ANNUAL BUDGET

The third phase of the planning/budgeting cycle is the preparation of departmental requests for the annual operating budget and other resources. The introductory material on pages 18 and 19 of this guide give a view of the university processes that formed the basis of action in the spring of 1978.

During the fall semester of 1978, further activity will be taking place to refine the process of establishing budget guidelines and of tying the process more directly to annual plans. Establishment of this vital linkage between *program planning* and *budgetary planning* should probably be the highest priority of the Task Force on Planning and Budgeting and of the President's Cabinet in the next six months.

Departments may expect to receive detailed budget instructions shortly after their annual plans have been submitted and reviewed. It is the intention to prepare a conservative budget in the spring of 1979 even if legislative appropriations action has not been completed. This tentative budget can then be adjusted in the light of actual appropriations received.

APPENDIX A

February 28, 1978

GOALS OF NORTH TEXAS STATE UNIVERSITY

The following proposed revision of goals for North Texas State University is organized according to six program classification areas suggested by the National Center for Higher Education Management Systems (NCHEMS). Although each program area might appear self contained, in actuality all six areas overlap considerably and lend crucial support to one another. It would be difficult, for example, to conduct a viable instructional program (Area I) without an equally active program of research (Area II).

The strategic placement of instruction, research, and public service as program areas I, II, and III (as well as the emphasis placed on these three areas in paragraph two of the Mission statement) clearly designates these as the major concerns of this University. The University indeed exists for the instruction of its students and service to its publics, and it recognizes that research is crucial to the development of both areas. The other three program areas are also essential to the mission of NTSU, however; without their being developed to the fullest potential as support areas, instruction, research, and public service cannot flourish. All six program areas are interdependent and must receive the diligent attention of the University and its community. Concern with the overall development of the University's programs will help accomplish a major, underlying goal of developing clearer lines of communication among all facets of the University so that each is aware of and can help support the efforts of all.

The following goal statements are predicated on three considerations: (1) Some of the programs and developments of North Texas State University are superior and must be viewed as points of departure for goals that follow. These developments call for continuance rather than imply a need for change. Such statements have been phrased as premises that philosophically underlie the goals. (2) In other areas goal statements indicate the need for new development and/or marked improvement. (3) In their wording, goals should be clear and distinct, but also general enough to be applicable to the many diverse facets of the University, which will in turn shape individual unit objectives to complement these more general goals.

Never in these premises and goals is adherence to the status quo intended, if status quo means accepting anything less than excellence. These goals indicate ends which NTSU should strive to attain, and they are meant to suggest the change, adjustment, and growth necessary for this University to attain excellence in all its spheres.

The Subcommittee on Mission and Goals

Fannie Belle Gaupp
Frank Halstead
Steve Haslund
Ed Mattil
Irene Mitchell
Wilmert Perkins
Rogers Redding
Howard Smith
Clint Wainwright
David Kesterson, Chairman

THE MISSION OF NORTH TEXAS STATE UNIVERSITY

North Texas State University exists as a commitment of the citizens of Texas to the belief that through education the human condition and the quality of life will be continuously improved and enriched. This belief, shared by the Board of Regents of the University, the administration, the faculty, the staff, and the student body is evidenced in the quality, nature, and distinctiveness of the academic programs, research, and other services offered by the University.

Fundamental to this University is the acquisition, preservation, and dissemination of knowledge through teaching, research, and scholarly and creative production. Through its many academic programs and a great range of other educative processes, it enhances the intellectual, scientific, and cultural needs of students and adds to their competencies as productive citizens. Through a diverse and complex educational program, it allows its students to study, experience, understand, and deal with the multitude of forces--economic, social, political, geographic, psychological, historical, philosophical, artistic, scientific--which affect the lives and well-being of individuals, societies, and governments.

The University, although rooted in sound traditional educational practices, is also an active and ever-changing institution which perceives and responds pragmatically to the emerging needs of a dynamic and rapidly developing society. While its programs will in many instances serve to accelerate the growth of the State and region, its mission and influence have no geographical limits, and its commitment to its constituency extends through each individual's productive lifetime.

North Texas State University is dedicated to the individual development and well-being of its students and to the protection of their rights and freedoms. It is, furthermore, committed to the principle of equal educational opportunities and offers its programs and services to all who qualify.

1

THE INSTRUCTION PROGRAM

DEFINITION

The instruction program includes those activities carried out for the express purpose of eliciting some measure of "educational change" in a learner or group of learners. "Educational change" is defined to include

(1) the acquisition or improved understanding of some portion of a body of knowledge;

(2) the adoption of new or different attitudes; and

(3) the acquisition or increased mastery of a skill or set of skills.

The activities that may be carried out to elicit these educational changes include both "teaching" activities and "facilitating" activities (which are more commonly associated with the design and guidance of a learning experience rather than with teaching something to a learner). Facilitating is an integral part of the design and conduct of an instructional program; academic advising is generally carried out in support of an instructional program (for example, clarifying requirements, describing alternatives). The instruction program includes both credit and noncredit instructional offerings.

THE SUBPROGRAMS

The NTSU Program Structure lists these subprograms within the instruction program:

1.1 General Academic Instruction	Includes instructional activities offered for credit, applicable to the degree programs of the university.
1.2 Community Education	Includes noncredit, nondegree instructional activities. Examples may be found in such units as the School of Community Services, Professional Development Institute, and within academic departments.
1.3 Preparatory/Remedial Programs	Includes such activities as English for foreign students, reading improvement.

GOALS OF THE INSTRUCTION PROGRAM

PREMISES:

A. The university will maintain a broad, carefully considered range of programs and academic concentrations that embrace both general and professional education and encompass graduate and undergraduate degree programs, postdoctoral study, and adult/continuing education programs.

B. The university will maintain a wide range of educational programs delivered in both traditional and distinctively creative modes and structures.

C. The university recognizes that the nature of instruction varies in relation to specific disciplines, type of physical facilities, and the interest and purpose of the student.

D. The university recognizes that instructional programs will be enhanced to the degree that their contents reflect current research and developments within the various disciplines.

GOALS:

1. Establish a workload that allows optimum commitment of faculty time and talent in a variety of instructional situations.

2. Identify and recognize excellence in teaching at both the graduate and undergraduate levels.

3. Support conditions by which students and faculty can more actively interrelate with each other in the context of their disciplines.

4. Ensure standards of excellence in degree programs and areas of concentration through an ongoing assessment plan.

5. Develop programs leading to recruitment and retention of outstanding undergraduate and graduate students.

6. Establish a means to foster and encourage the continuing renewal of faculty instructional skills.

7. Develop a continuing process of curriculum evaluation with the intent of determining the relationship between specific curricula and the mission of the university and providing the opportunity to develop a new curriculum.

8. Utilize procedures in which students have the opportunity to participate along with faculty in the development and evaluation of curriculum and instruction.

9. Provide each student with readily available, accurate, and continuing academic advising.

10. Continue to develop instructional programs in all geographical areas permitted by the Coordinating Board, and in all ways that meet the emerging needs of the university's constituency.

INSTRUCTIONAL GOAL OUTCOME AREAS

One of the important needs of the planning process is to develop indicators of success in reaching stated goals. This will require the adoption of qualitative measures of outcomes for the goals. Since, in addition, specific annual operational objectives must be developed in support of the instructional goals of the university, we will also be seeking quantitative measures for each goal outcome area. In some areas this might not be possible or practical. In virtually all areas it will take a considerable time period to develop acceptable outcome measures.

Listed below are the instructional "output goal" areas for which our planning process needs to develop objectives and outcome measures. These were derived originally from the NTSU Institutional Self-Study for the Southern Association in 1973, based on responses to the Institutional Goals Inventory. This process was repeated in the 1977 fall semester. The goal statements were revised in March 1978 and are listed in the order of priority expressed by the survey respondents (396 faculty members, 70 administrators, 31 department chairmen, and 31 professional librarians). Only those rated as important or highly important goals are included. The Areas of Intellectual Orientation and Academic Development are rated as "highly important." The eighth item, Cultural/Esthetic Awareness, was given relatively "low importance."

1. INTELLECTUAL ORIENTATION. The university gives a priority of the highest importance to the intellectual development of its students, who may be expected to show:

   1. A permanent commitment to learning.
   2. Ability to synthesize knowledge from a variety of sources.
   3. Intellectual capacities developed to the fullest.
   4. Increased desire and ability to undertake self-directed learning.
   5. Competence in scholarly inquiry, scientific research, or problem definition and solution.

2. ACADEMIC DEVELOPMENT. To stress intellectual performance and academic mastery (rather than an accumulation of credits) so that students:

1. Are held to high standards of intellectual performance throughout the university (a priority of extremely high importance).
2. Acquire a good basic knowledge in the humanities, social sciences, and natural sciences.
3. Acquire depth of knowledge in at least one academic discipline.
4. Are prepared for advanced study at a graduate or professional school.

3. ADVANCED TRAINING. To develop a strong and comprehensive graduate school which will provide:

1. Advanced study in specialized problem areas, e.g., through research institutes or centers.
2. Work leading to the doctorate in various fields in natural sciences, social sciences, and humanities.
3. Programs in such "newer" professions as education, business administration, and library and information sciences.

4. HUMANISM/ALTRUISM. To cultivate the students' sense of idealism and social concern so that they:

1. Are dedicated to improving the quality of human life.
2. Understand and respect peoples from diverse backgrounds and cultures.
3. Become conscious of the great moral issues of our time.
4. Make concern for welfare of all mankind a central part of their lives.

5. INDIVIDUAL PERSONAL DEVELOPMENT. Another student-centered priority concerns the development of one's unique human potential. Students should be helped to:

1. Identify their own personal goals and develop means for achieving them.
2. Develop a sense of self-worth, self-confidence, and capacity to have an impact on events.
3. Develop a set of ethical principles to guide their personal conduct.
4. Become open, honest, and trusting in their relationships with others.

6. CAREER PREPARATION. To provide training for specific occupational careers. Emphasis will be given to:

   1. Educational programs geared to new and emerging career fields.
   2. Assistance in deciding upon a vocational career.
   3. Retraining for those with rusty or obsolete job skills.
   4. Immediate entry into the job market.

7. MEETING LOCAL NEEDS. To serve the surrounding metropolitan community by providing continuing education for adults (including part-time study).

8. CULTURAL/ESTHETIC AWARENESS. To increase students' sensitivity to and appreciation of various forms of artistic or literary expression and to encourage students to express themselves artistically -- through course work in the humanities or arts or through other activities.

2

THE RESEARCH PROGRAM

DEFINITION

The research program includes those activities intended to produce one or more research outcomes including the creation of knowledge, the reorganization of knowledge, the application of knowledge, and creative production. It includes both those activities carried out with institutional funds and those carried out under the terms of agreement with agencies external to the institution. Research activities may be conducted by any number of organizational entities including research divisions, centers, and institutes. (Instructional activities such as workshops, short courses, and training grants should not be classified within the research program.)

THE SUBPROGRAMS

The NTSU Program Structure lists these subprograms within the research program:

2.1	Institutes and Research Centers	Research activities conducted within the framework of a formal organization other than instructional departments. Example: Institute of Applied Sciences.
2.2	Individual or Project Research	Research activities that normally are managed within the academic departments. Examples: faculty research supported by the appropriated element, organized research, sponsored research from federal and private grants.

GOALS OF THE RESEARCH PROGRAM

PREMISES:

A. The university recognizes that the reserach program is dedicated to the discovery, development, and use of knowledge.

B. The university recognizes that the cornerstone of the research program is an atmosphere of free inquiry, both as a basis for effective instruction and as an essential and unique means for the advancement of civilization.

C. The university recognizes that significant research, creative productions, and scholarly publication are essential to establishing a strong academic reputation for North Texas State University.

GOALS:

1. Ensure that students, faculty, and professional staff realize they are expected to engage in research activities which will result in creative productions and scholarly publications.

2. Provide financial support both from within and outside the university to faculty, students, and professional staff in terms of research assistants, secretarial services, computer facilities, library usage, and other services so that significant research programs can be carried out.

3. Provide for individual and coordinated scholarly and professional activity which will result in identifiable spheres of prominence for North Texas State University.

4. Acknowledge and reward meritorious creativity, research, and publication.

RESEARCH GOAL OUTCOME AREAS

This goal area was ranked by IGI respondents in the middle of the range of "Important" goals, with academic department chairmen giving it more importance than did other groups. Item one was classified by the entire group as "highly important." Little importance is given to the performance of contract research for government, business or industry.

1. RESEARCH.

1. To contribute, through research, to the general advancement of knowledge.
2. To be a national leader in a number of areas of research.
3. To conduct basic research in the social sciences and in the natural sciences.

3

THE PUBLIC SERVICE PROGRAM

DEFINITION

The public service program includes those program elements established to make available to the public the various unique resources and capabilities of the institution for the specific purpose of responding to a community need or solving a community problem. Included in this program are the provision of institutional facilities as well as those services of the faculty and staff that are made available outside the context of the institution's regular instruction and research programs.

THE SUBPROGRAMS

The NTSU Program Structure lists these subprograms within the public service program:

3.1 Patient/Client Services	Activities that benefit patients/clients through services rendered in a hospital or clinical/diagnostic setting. Examples: Vocational Rehabilitation Clinic Speech and Hearing Center Pupil Appraisal Center Psychological Services Center for Behavioral Studies
3.2 Community Services	Services other than instruction or research beneficial to individuals or groups outside of the university. Examples: consultant services, conferences and meetings, provision of facilities.

GOALS OF THE PUBLIC SERVICE PROGRAM

PREMISE:

The university serves as a broad source of enrichment for citizens of the Dallas-Fort Worth Metroplex, the State of Texas, and, ultimately, citizens of the world.

GOALS:

1. Build a public service program designed to assist and interact with the university's various publics which would provide assistance through such means as computers, libraries, conferences, research, and individual consultation to business and industry, the needs of governments, labor, the professions, alumni, and the general public.

2. Encourage a strong commitment to all the university's educational programs throughout the entire sphere of its public influence.

3. Promote cultural interchange and sharing with the various publics and other colleges and universities of the Metroplex and Texas as a whole.

4. Provide services through the university's various centers to care for the specialized needs of individuals.

PUBLIC SERVICE GOAL OUTCOME AREAS

Specific objectives should be developed for each activity in this program area. Consideration should be given to the following statements, ranked eighth and tenth in the Institutional Goals Inventory outcome goals.

1. MEETING LOCAL NEEDS. To serve the surrounding metropolitan community by providing:

    1. Service as a cultural center for the community.
    2. Assistance to local agencies in solving social, economic, or governmental problems.

2. PUBLIC SERVICE. To provide public service to regional, state and national agencies. The university will thus:

1. Focus its resources on the solution of major social and environmental problems.
2. Be responsive to regional and national priorities in designing and implementing new programs.
3. Help people from disadvantaged communities acquire knowledge and skills they can use in improving community conditions.

4

THE ACADEMIC SUPPORT PROGRAM

DEFINITION

The academic support program includes those activities carried out in direct support of one or more of the three primary programs (instruction, research, public service). This program includes (1) activities related to the preservation, maintenance, and display of both the stock of knowledge and educational materials, (2) activities that directly contribute to the way in which instruction is delivered or research is conducted, such as educational media services and academic computing, (3) activities directly related to the administration of academic programs, and (4) activities related to the professional development of academic personnel.

THE SUBPROGRAMS

The NTSU Program Structure lists these subprograms within the academic support program:

4.1	Library Services	
4.2	Museums and Galleries	
4.3	Educational Media Services	
4.4	Academic Computing Support	
4.5	Ancillary Support	These are usually unique to a particular academic program. Examples: Radio Station KNTU, Physics Machine Shop, Nursery School.
4.6	Academic Administration	Provides administrative and management support specifically for the institution's academic programs. Includes the academic deans, administrative activities of department chairmen, the Faculty Senate, tenure committees, and academic program advising. Excludes the academic vice president's office.
4.7	Course and Curriculum Development	Planning, research, and evaluation activities, excluding work of individual faculty in improving their current course offerings.
4.8	Academic Personnel Development	Staff development, professional meetings, leaves, faculty awards.

GOALS OF THE ACADEMIC SUPPORT PROGRAM

PREMISES:

A. The university will maintain a faculty and staff of increasingly high quality who are capable of creating, assembling, organizing, and communicating the knowledge, skills, and attributes which are needed by students, and who are devoted to the guidance and assistance of students in the learning process and in a search for self-fulfillment.

B. The university will maintain and improve all necessary facilities, equipment, materials, library, and union to create the optimum conditions conducive to the intellectual, emotional, and esthetic growth of the university community.

GOALS:

1. Give high priority to the retention of excellent faculty and professional support staff by providing financial incentives, staff support, a positive atmosphere for research, and other appropriate benefits.

2. Provide auxiliary teaching-learning support for faculty and students as an assistance to excellent instruction. Specifically, attention will be given to development leave programs, the library, the computing center, media and instructional centers, teaching-research aids, and learning laboratories.

3. Ensure flexibility within academic, support, and governance areas of the university by establishing the machinery for rapid budgeting response to and implementation of special needs.

4. Ensure that the various support systems of the university (such as the library, university store, media centers, computing center, union, and offices which govern admission, registration, and records) recognize as their primary functions the assisting of students and faculty members in fulfilling more expediently their respective roles in the learning process.

5. Provide an economical, functional registration system and implement an additional preregistration and/or continuous registration system.

ACADEMIC SUPPORT GOAL OUTCOME AREAS

In developing specific operational objectives in support of these goals, attention should also be directed to the following "process goals" developed from the Institutional Goals Inventory. These were ranked second and fourth in priority in a list of nine process goal areas.

(Note that these are "process goals" in contrast to the "output goals" which have been listed in the preceding sections.)

1. INTELLECTUAL/ESTHETIC ENVIRONMENT. It is of extremely high importance to create an institution known widely as an intellectually exciting and stimulating place. The desired conditions would be recognized by a campus climate involving:

    1. Much student free time spent in intellectual and cultural activities.
    2. Creative individuals relating readily to each other in productive ways.
    3. Students and faculty coming together easily for informal discussion of ideas of mutual interest.
    4. A rich program of cultural events such as lectures, concerts, and art exhibits.

2. INNOVATION. The university should seek to:

    1. Create procedures by which curricular or instructional innovations may be readily initiated.
    2. Experiment with new instructional media and technologies.
    3. Experiment with different methods for evaluating and grading student performance.
    4. Build a campus climate in which continuous educational innovation is accepted as an institutional way of life.

5

THE STUDENT SERVICE PROGRAM

DEFINITION

The student service program includes those activities carried out with the objective of contributing to the emotional and physical well-being of the students as well as to their intellectual, cultural, and social development outside the context of the institution's formal instruction program. The student service program attempts to achieve this objective by

(1) expanding the dimensions of the student's educational and social development by providing cultural, social, and athletic experiences;

(2) providing those services and conveniences needed by students as members of an organized university community; and

(3) assisting students in dealing with personal problems and relationships as well as in their transition from student to member of the labor force.

THE SUBPROGRAMS

The NTSU Program Structure lists these subprograms within the student service program:

5.1 Student Service Administration	Includes administrative activities in support of student activities. Examples: dean of students programs for international students and handicapped students.
5.2 Social and Cultural Development	Examples: student publications, the Student Association, Fine Arts Series, lecture/film/art programs, clubs and fraternities, student recreation, intramural athletics.
5.3 Counseling and Career Guidance	Examples: counseling, testing, placement services.
5.4 Financial Aid Administration	
5.5 Student Auxiliary Services	Examples: housing, food service, the Union, retail services
5.6 Intercollegiate Athletics	
5.7 Student Health/Medical Services	

GOALS OF THE STUDENT SERVICE PROGRAM

PREMISES:

A. The university will maintain an environment which supports and encourages teaching and learning while continuing to protect the rights and freedoms of students.

B. The university recognizes that the worth and dignity of each student are primary concerns in academic, fiscal, and student service decision making and policy formation.

GOALS:

1. Provide a variety of cocurricular educational programs, activities, and services which respond to the developmental needs of differing student populations within the university community, recognizing the concept of the extended campus.

2. Establish means by which student affairs programs and personnel can be utilized to support and improve the academic, personal, and interpersonal counseling efforts of the university.

3. Maximize student access to major university services, such as the Union, the Library, and recreational facilities.

4. Implement a program to increase campus awareness of the services available to students, faculty, and staff.

5. Provide supplemental services for student development in areas of specific academic deficiency, physical and social-interpersonal competence, personal self-awareness, autonomy and identity, and a sense of purpose.

6. Develop a comprehensive program of recreation and athletics encompassing a wide range of sports on individual, intramural, and intercollegiate levels.

STUDENT SERVICE GOAL OUTCOME AREAS

In developing specific objectives, student-related outcomes should reflect a concern for many of the goal areas listed in other sections. The following process goals, for instance, should yield a number of outcomes desired for this program:

1. COMMUNITY. To develop a sense of community, creating a spirit and morale which contribute to the common goals of the university, marked by:

    1. Mutual trust and respect among students, faculty, and administrators.
    2. Open and candid communication throughout the university.
    3. A campus climate in which differences of opinion can be aired openly and amicably.

2. INTELLECTUAL/ESTHETIC ENVIRONMENT. To create an institution known widely as an intellectually exciting and stimulating place, recognized by a campus climate involving:

    1. Much student free time spent in intellectual and cultural activities.
    2. Creative individuals relating readily to each other in productive ways.
    3. Students and faculty coming together easily for informal discussion of ideas of mutual interest.
    4. A rich program of cultural events such as lectures, concerts, and art exhibits.

3. COLLEGIATE ENVIRONMENT. Ranked ninth and last in the Institutional Goals Inventory, these responses gave virtually no importance to the goal of carrying on a broad and vigorous program of extracurricular activities for students. Such a collegiate environment is characterized by:

    1. Opportunities for students to come together for purely recreational or social purposes.
    2. Provision of a period in life that will be remembered for its good times and good friendships.
    3. Excellence in intercollegiate athletic competition.*
    4. Operation of social fraternities and sororities.*

* The faculty and staff respondents, in fact, suggested that these last two categories should be less important than is presently the case.

6

THE INSTITUTIONAL SUPPORT PROGRAM

DEFINITION

The institutional support program consists of those activities carried out to provide for both the day-to-day functioning as well as the long-range viability of the institution as an operating organization. The overall goal of the institutional support program is to provide for the institution's organizational effectiveness and continuity. It does this by

(1) providing for planning and executive direction;

(2) providing for administrative and logistical services;

(3) maintaining the quality of the physical environment;

(4) enhancing relationships with the institution's constituencies; and

(5) obtaining a student body having those characteristics consistent with the mission and goals of the university.

THE SUBPROGRAMS

The NTSU Program Structure lists these subprograms within the institutional support program:

6.1 Executive Management	Consists of those executive-level activities concerned with the overall management of and planning for the entire institution. Examples: executive direction (Board of Regents, president, vice presidents), planning and budgeting, legal services.
6.2 Financial Management and Operations	Examples: fiscal control, financial operations, investment management, grants and contracts financial management.
6.3 General Administration and Logistical Services	Examples: Personnel Office, equal opportunity programs, facilities scheduling and space allocation, police, fire protection, trash collection, purchasing, inventory, central receiving, motor pool, parking, shuttle bus service, campus mail, printing, telephone.

6.4	Administrative Computing Support	
6.5	Physical Plant Operations	Includes those activities related to maintaining existing grounds and facilities, providing utility services, and planning and designing future plant expansions and modifications.
6.6	Public Relations and Development	Includes information dissemination/ promotion, governmental relations, alumni and constituency relations, and nongovernmental fund solicitation.
6.7	Student Recruitment and Admissions	Activities to identify prospective students, promote attendance at the university, and process applications for admission.
6.8	Student Records	Activities to maintain and update records of current and former students.
6.9	Faculty and Staff Auxiliary Services	

GOALS OF THE INSTITUTIONAL SUPPORT PROGRAM

PREMISES:

A. The university will continue to maintain and enhance a stature appropriate to one of the top-ranking universities in the state, recognizing and accepting its responsibilities as an educational leader.

B. The university recognizes the need for facilities which are designed to encourage intellectual, esthetic, and physical well-being for the university community.

GOALS:

1. Provide means by which knowledge and mutual appreciation of the roles and contributions of the several divisions and units of the university can be broadly disseminated and by which closer communication between instructional faculty and all other support services is established, enabling the entire campus to experience a clearly defined sense of direction.

2. Allocate resources, both technical and fiscal, to develop academic programs to levels of excellence.

3. Increase the activity of a systematic and sustained program for the acquisition of funds from sources outside the university on the local, state, and national levels.

4. Establish and maintain means by which university support services, such as computer and media resources and administrative services, are better utilized by all facets of the university.

5. Ensure commitment to a mission and goal-oriented system of planning and budgeting.

6. Establish and implement a clearly defined, workable system of organization and governance for the university.

7. Improve communication with the university's nontax-based constituents (alumni, foundations, corporations, etc.) in order to include their thinking in institutional planning and increase their understanding, loyalty, and support of university purposes and programs.

ADMINISTRATIVE SUPPORT GOAL OUTCOME AREAS

In the task of preparing operational objectives in support of goals in this program, the following "process goal areas" from the Institutional Goals Inventory should be recognized:

1. COMMUNITY. To develop a sense of community, creating a spirit and morale which contribute to the common goals of the university. The desired attitudes may be recognized in a campus climate in which is found:

    1. Open and candid communication throughout the university.*
    2. Mutual trust and respect among students, faculty, and administrators.*
    3. Open and amicable airing of differences.
    4. Faculty commitment to university goals as strong as that to professional careers.
    5. Concern for total university which overrides constituent group interest.

* These two items were judged to be "of extremely high importance."

2. DEMOCRATIC GOVERNANCE. It is highly important to create a system of campus governance that will:

    1. Assure individuals the opportunity to participate or be represented in making any decision which affects them.
    2. Involve students, faculty, administrators, and regents significantly in campus governance.
    3. Be genuinely responsive to the concerns of people at the university.
    4. Decentralize decision-making on the campus to the greatest extent feasible.
    5. Develop procedures for equitable resolution of conflicts between divergent interest groups on the campus.

3. EVALUATION/PLANNING. To organize the university to provide for continuous planning and evaluation of all programs marked by:

    1. Periodic critical examination of policies and practices.
    2. Acceptance of systematic program evaluation as standard procedure.
    3. To maintain, in institutional planning, substantial autonomy from external governing bodies.
    4. Continuous short-, medium-, and long-range planning for the total institution.
    5. Evidence that the institution is actually achieving its stated goals.

4. EXTERNAL RELATIONS. To develop understanding and mutually beneficial relations between the campus and external constituencies. This would include efforts to:

1. Cooperate with other universities to meet educational needs of the region.
2. Interpret the nature, purpose, and work of the university to interested publics.
3. Encourage local citizenry to become more a part of the campus.
4. Include local citizens in planning university programs that will affect the local community.

APPENDIX B
PLANNING ASSUMPTIONS, 1979-1984
NORTH TEXAS STATE UNIVERSITY

INTRODUCTION

The assumptions that follow are highly selective rather than comprehensive. They have been chosen for their relationship to the NTSU institutional mission and their potential effect on the planning process. The assumptions do not necessarily describe inevitable, but rather, prospective trends of which the university community must be aware.

This description of our "universe" should provide the broad overview that will aid individual planners in developing assumptions specific to their own needs. We solicit from the users of this document information that will aid in its improvement.

Subcommittee on Planning Assumptions

Leonard Benson
John Carrell
Jack Cross
Barry King
Charldean Newell
Jack Robason
Foster Roden
Doug Starr
John Todd
Robert Toulouse
Mervyn W. Stelter, Chairman

PLANNING ASSUMPTIONS 1978-82 (FY 79-83)

THE EXTERNAL ENVIRONMENT

1. POPULATION

1.1 The southwestern United States will continue to experience the "Sunbelt" growth phenomenon; and the Dallas-Fort Worth Metroplex population will grow about 1.3 per cent annually. Suburban areas will experience actual growth, while the central cities will continue to lose population.

1.2 As a reflection of declining birth rates, the percentage of population that is of the traditional college age (18-22) will grow more slowly than the population as a whole. This age group will grow about 4.8 per cent in the 1975-85 decade. NTSU enrollment growth will be relatively stable, with increments averaging 1 per cent annually.

2. ECONOMIC

2.1 Indicators are present that the national economy will continue to suffer the effects of both inflation and unemployment. However, Metroplex economic conditions will remain more stable than those nationally, and per capita income should increase about 4 per cent annually in purchasing power.

2.2 Consumers will shift even more of their spending to services (health, government, and education) and will spend more for energy (utilities, gasoline). Discretionary income will increase absolutely, but decline as a proportion of total income.

2.3 Both economic growth and job opportunities in the metropolitan area will come in service fields such as finance, insurance, real estate, and government as well as the overall field of energy development and distribution, rather than fields such as transportation and manufacturing.

2.4 The State of Texas will place greater emphasis on service areas other than higher education, and university budgets will remain relatively stable. Expenditures will follow a maintenance, rather than expansion, pattern.

2.5 In educational funding, the emphasis will be on elementary, secondary, and vocational expenditures.

2.6 Federal spending will expand in the areas of human resource programs and of energy development and conservation.

2.7 Federal government spending in the area of education will encourage social problem solving and applied research rather than basis theoretical research.

2.8 Private educational institutions will seek (and receive) a higher percentage of funds from the public sector.

3. EDUCATIONAL

3.1 Educational institutions will increasingly need to provide continuing education opportunities of all types, including advanced job training and activities for use

of leisure time.

3.2 The trend toward greater accountability of educational institutions for their degree and certificate programs will continue; that is, employers and students will increasingly insist that credentials and competence coincide. Implicit in this assumption is a greater demand for evaluations, reports, and accrediting visits.

3.3 Competition among institutions will cause greater emphasis to be placed on student recruitment efforts, including faculty involvement in recruiting.

3.4 Continued domination of higher education by the State, with more stress on coordination among institutions and elimination of duplication and waste, will occur. There will be an emphasis on interinstitutional cooperation.

3.5 With continued implementation of individual rights legislation, such as Title IX, there will probably be a shift in female enrollment from traditionally female-oriented programs to traditionally male-oriented programs.

3.6 Increasing numbers of minorities, women, handicapped, older people and international students will be seeking entrance to institutions of higher education.

3.7 Institutions of higher learning will be required to develop mechanisms to provide for faculty shrinkage in proportion to student enrollment while maintaining and/or improving faculty quality.

4. VOCATIONAL/CAREER

4.1 Although college trained people with a baccalaureate degree or less will continue to face overcrowded job markets, the need for people with five years or more of college training will be somewhat greater, at least in some fields. The largest excess of supply over demand in the job market will be in the following fields: pharmacy, optometry, social sciences, architecture, education, law, communication, agriculture, biological sciences, fine and applied arts, foreign languages, home economics, English, philosophy, physical sciences, and psychology. Fields where demand is expected to exceed supply include: all health fields except pharmacy and optometry, social work, library science, engineering, accounting, computer science, mathematics, and business administration, including the service fields cited in 2.3 above. An oversupply of college-trained people in any specific area will not necessarily result in a decline in enrollment.

4.2 Highly competitive job markets lead to greater emphasis on employment opportunities associated with college education.

4.3 North Texas State University will have a placement rate for its graduates that exceeds the rate of smaller and/or less well-established institutions.

THE INTERNAL ENVIRONMENT

5. COURSE DATA

5.1 Summer semester credit hour production will decline

5.2 North Texas State University will continue to generate resident credit hours through its off-campus operations.

6. FINANCIAL DATA

6.1 Auxiliary enterprises will continue the present downward trend of income after expenditures as fixed costs continue to increase.

6.2 Formulas for the distribution of state funds and the allocation of state funds will change.

6.3 The North Texas State University Educational Foundation and other university development activities will continue to provide an increasing level of enrichment funding to various programs.

6.4 Certain academic and nonacademic activities critical to the mission of the university must continue to be funded even though they are not income producing.

6.5 Tuition rates will remain essentially the same.

6.6 Outside grants, contracts and gifts will continue to support research efforts and continuing education programs and will gradually increase in amount. Greater emphasis will be placed on securing such funding.

6.7 The pattern of appropriations for special items will remain essentially the same although the Legislative Budget Board will continue efforts to include such items as part of the cost of other elements such as departmental operating expense.

UNIVERSITY POLICIES

The policies of North Texas State University are to be ideally a supportive, if not constant, reaffirmation of its belief in the value of education for the improvement of the human condition. Thus, policies should be formulated to create and preserve a climate conducive to the discovery, acquisition, development, preservation and dissemination of knowledge. So too should such policies aid in the enhancement of the intellectual, cultural and proficiency levels of all who enter its programs.

As a public institution, however, the definite courses of action, or policies, sought by the various constituents within the university family are subject not only to the plenary control of the State, but also, when assisted in the pursuit of its goals by federal funding, to the applicable control of the federal government.

Thus, in the policy-making function, the institution is subject to the primary and overriding constraints of federal and state control through specific legislative acts and, insofar as such policies address themselves to the individual, the constitutional and legislative pronouncements relating to the civil rights of that person.

Although conforming to the primary constraints of constitutional provisions and legislative enactments of both the federal and state governments, university policies must conform to myriad secondary constraints that can be external as well as internal, directive as well as interpretive. These may range from the General Appropriations Bill to a college's allocation of funds, or from a directive of the Coordinating Board to an opinion of the Attorney General.

Makers of the university policy, the Regents or their nominees within certain areas, are most often responding to the conditions and situations that, in the opinion of individual members of the university community, warrant a definite course of action upon the part of the university. To respond by policy, however, places these makers of policy within the center of a sphere of both primary and secondary constraints that, unless complied with, makes such policy both ineffective and unenforceable.

Assuming compliance with both external and internal constraints, together with the assurance that it does not conflict with prior policy, university policy must be promulgated to all whom it may affect.

The committee believes that the present Policy Manual is excellent and applauds this culmination of what appears to be months of effort upon the part of a number of people. It is properly indexed and appropriately cognizant of constitutional and legislative constraints and seems mindful of internal constraints as well. *

*An abridged list of policies contained in the manual appears on the next two pages.

Abridged List of Policies Contained in University Policy Manual

Volume 1

Section 1.0 Instruction

- Coordinating Board, Various Reports to
- Grade Appeals System
- Attendance Policy, Students
- Faculty
  - Academic Freedom and Responsibility
  - Tenure
  - Termination of Employment
- Requirements for Graduate Faculty Membership
- Guidelines for Faculty Participation in Instructional Units
- Academic Promotions
- Courses Required by State

Section 2.0 Organized Research

- Faculty Research Manual
- Office of Research and Academic Grants, Policies and Procedures
- Protection of Human Subjects

Section 4.0 Academic Support

- University Library Committee
- University Archives
- Academic Workloads
- University Review Committee
- Guidelines for Joint Appointments (with TCOM)
- Faculty Senate Charter
- University-wide Committees and Councils
- Approval of Off-Campus Units and Courses
- Faculty Development Leaves

Section 5.0 Student Service

- Off-Campus Speakers
- Student Organizations
- Student Association Constitution
- Student Service Fee Committee
- Graduate Student Council
- Code of Student Conduct and Discipline
- Union Board of Directors
- Sale and Consumption of Alcoholic Beverages
- Housing
- Administration of Grants, Loans, Scholarships

(over)

Volume 2

Section 6.0 Institutional Support

6.1 Executive Management
- Purposes and Goals for the University (1975)
- Open Records Act
- Board of Regents Bylaws
- Patents and Copyrights

6.2 Fiscal Operations
- Fiscal Regulations
- Liability Insurance
- "Riders" from the Appropriations Bill

6.3 General Administrative Services
- Campus Graphics
- Key Control
- Protection of Buildings and Grounds
- Designated Areas for Traffic Laws Enforcement by University Police
- Facilities Use Coordination Policy
- Equal Employment Opportunity/Affirmative Action
- Personnel Policy for Staff (Non-Faculty) Employee Complaint and Appeals
- Outside Employment
- Academic and Non-Academic Retirement Policies
- Faculty and Staff Absence from Duty
- Non-Academic Personnel Promotion and Transfer
- Education Benefits

6.4 Administrative Computing Support

6.5 Physical Plant Operations
- Selection of Architects
- Land Purchase
- Approval of Construction
- Prebid Qualification of Construction Bidders
- Ad Valorem Tax for Buildings

6.7 Public Relations and Development
- Alumni Citations
- Federation of North Texas Area Universities, Bylaws
- Interuniversity Council of the North Texas Area, Bylaws
- Development Funds

6.8 Student Recruitment, Admissions and Records
- Tuition Rates
- Residency Requirements
- Student Fees
- Admission or Reenrollment as Related to Student Conduct

APPENDIX C

NTSU PROGRAM STRUCTURE
(REVISED MARCH 1978)

Revision of the Program Structure

In 1976-77 pilot tests of planning/budgeting materials, a "Program Structure" for NTSU was made the basis for the statement of goals and development of plans. It was based on a publication of the National Center for Higher Education & Management Systems, Program Classification Structure, First Edition. NCHEMS has since published a review edition of a revision of the structure.

What follows is a slight revision of the NTSU Program Structure, based in part on the NCHEMS changes and in part on experience during the first pilot test on this campus. An effort has been made to simplify the structure but to give a little more detail in defining the subprograms.

Applications of the program structure for the first year may be seen in individual planning documents of the 20 budget units which served as pilot groups and in the document, University Planning and Budgeting, First-Year Report, North Texas State University, August 1977. Definitions of the six programs are reproduced here from that document.

1. THE INSTRUCTION PROGRAM

Definition

The instruction program includes those activities carried out for the express purpose of eliciting some measure of "educational change" in a learner or group of learners. "Educational change" is defined to include

(1) the acquisition or improved understanding of some portion of a body of knowledge;

(2) the adoption of new or different attitudes; and

(3) the acquisition or increased mastery of a skill or set of skills.

The activities that may be carried out to elicit these educational changes include both "teaching" activities and "facilitating" activities (which are more commonly associated with the design and guidance of a learning experience rather than with teaching something to a learner). Facilitating is an integral part of the design and conduct of an instructional program; academic advising is generally carried out in support of an instructional program (for example, clarifying requirements, describing alternatives). The instruction program includes both credit and noncredit instructional offerings.

2. THE RESEARCH PROGRAM

Definition

The research program includes those activities intended to produce one or more research outcomes including the creation of knowledge, the reorganization of knowledge, the application of knowledge, and creative production. It includes both those activities carried out with institutional funds and those carried out under the terms of agreement with agencies external to the institution. Research activities may be conducted by any number of organizational entities including research divisions, centers, and institutes. (Instructional activities such as workshops, short courses, and training grants should not be classified within the research program.)

3. THE PUBLIC SERVICE PROGRAM

Definition

The public service program includes those program elements established to make available to the public the various unique resources and capabilities of the institution for the specific purpose of responding to a community need or solving a community problem. Included in this program are the provision of institutional facilities as well as those services of the faculty and staff that are made available outside the context of the institution's regular instruction and research programs.

4. THE ACADEMIC SUPPORT PROGRAM

Definition

The academic support program includes those activities carried out in direct support of one or more of the three primary programs (instruction, research, public service). This program includes (1) activities related to the preservation, maintenance, and display of both the stock of knowledge and educational materials, (2) activities that directly contribute to the way in which instruction is delivered or research is conducted, such as educational media services and academic computing, (3) activities directly related to the administration of academic programs, and (4) activities related to the professional development of academic personnel.

5. THE STUDENT SERVICE PROGRAM

Definition

The student service program includes those activities carried out with the objective of contributing to the emotional and physical well-being of the students as well as to their intellectual, cultural, and social development outside the context of the institution's formal instruction program. The student service program attempts to achieve this objective by

(1) expanding the dimensions of the student's educational and social development by providing cultural, social, and athletic experiences;

(2) providing those services and conveniences needed by students as members of an organized university community; and

(3) assisting students in dealing with personal problems and relationships as well as in their transition from student to member of the labor force.

6. THE INSTITUTIONAL SUPPORT PROGRAM

Definition

The institutional support program consists of those activities carried out to provide for both the day-to-day functioning as well as the long-range viability of the institution as an operating organization. The overall goal of the institutional support program is to provide for the institution's organizational effectiveness and continuity. It does this by

(1) providing for planning and executive direction;

(2) providing for administrative and logistical services;

(3) maintaining the quality of the physical environment;

(4) enhancing relationships with the institution's constituencies; and

(5) obtaining a student body having those characteristics consistent with the mission and goals of the university.

NTSU PROGRAM STRUCTURE

PROGRAM: 1.0 Instruction

Subprogram		Definition	Activity or Department
1.1	General Academic Instruction	Includes instructional activities offered for credit, applicable to the degree programs of the university.	Bachelor's programs in liberal arts Degree programs for professional career placement
1.2	Community Education	Includes noncredit, nondegree instructional activities. Examples may be found in such units as the School of Community Service, Professional Development Institute, and within academic departments.	CPA Review Courses Community Service Minicourses Center for Community Services Etc.
1.3	Preparatory/ Remedial Programs	Includes such activities as English for foreign students, reading improvement.	English for Foreign Students Speed Reading Remedial Instruction

NTSU PROGRAM STRUCTURE

PROGRAM: 2.0 Research

Subprogram		Definition	Activity or Department
2.1	Institutes and Research Centers	Research activities conducted within the framework of a formal organization other than instructional departments.	Center for Studies in Aging Institute of Applied Sciences
2.2	Individual or Project Research	Research activities that normally are managed within the academic departments.	Faculty Research Supported by Organized Research Appropriations Sponsored Research: Federal and private grants

NTSU PROGRAM STRUCTURE

PROGRAM: 3.0 Public Ser

Subprogram		Definition	Activity or Department
3.1	Patient/Client Services	Activities that benefit patients/ clients through services rendered in a hospital or clinical/ diagnostic setting.	Speech and Hearing Clinic Psychological Services Pupil Appraisal Center Center for Behavioral Stu
3.2	Community Services	Services other than instruction or research beneficial to individuals or groups outside of the university.	Conferences and Meetings Consulting Services Provision of Facilities

NTSU PROGRAM STRUCTURE

PROGRAM: 4.0 Academic Support

Subprogram		Definition	Activity or Department
4.1	Library Services		Materials Acquisition Materials Preparation Materials Identification/Access Services Materials Distribution Interinstitutional Exchange and Loan Information Dissemination/Promotion
4.2	Museums and Galleries		The State Historical Collection (University Museum) University Union Gallery
4.3	Educational Media		Center for Instructional Services Media Library
4.4	Academic Computing Support		
4.5	Ancillary Support	These are usually unique to a particular academic program.	Radio Station KNTU Physics Machine Shop Nursery School
4.6	Academic Administration	Provides administrative and management support specifically for the institution's academic programs.	Academic Deans Faculty Senate Tenure Committee Academic Program Advising

Subprogram		Definition	Activity or Department
4.7	Course and Curriculum Development	Planning, research, and evaluation activities, excluding work of individual faculty in improving their current course offerings.	Curriculum Committee Curriculum Evaluation Research
4.8	Academic Personnel Development	Provides the faculty with opportunities for personal and professional growth and development; includes activities to evaluate and reward the professional performance of faculty.	Faculty Development Leaves Instructional Evaluation In-Service Faculty Education Faculty Awards Professional Meetings

NTSU PROGRAM STRUCTURE

PROGRAM: 5.0 Student Service

Subprogram		Definition	General Activity	Examples
5.1	Student Service Administration	Administrative activities that provide assistance and support to the needs and interests of students. Includes services or central support for more than one subprogram in this area.	Activities associated with the dean of students office.	
			Activities related to the needs of special students.	International Student Programs Programs for Handicapped Students Veterans' Services Women's Programs
5.2	Social and Cultural Development	Activities outside of the formal academic program; general student recreational activities.	Student Interest Groups	Student Publications Fraternities and Sororities Student Clubs, Political Groups
			General Student Recreation	Intramural Athletics Golf Course Swimming Pool
			Cultural Events	Fine Arts Series Lecture Series Art Exhibitions Films
			Student Governance	The Student Association Graduate Student Council
5.3	Counseling and Career Guidance	Includes formal placement, career guidance, and personal counseling services for students	Student Career Guidance and Placement Services	Vocational Testing and Counseling Placement

.6

Subprogram		Definition	General Activity	Examples
			Student Personal Counseling	Psychological Testing Counseling Services
5.4	Financial Aid Administration		Financial Aid Counseling and Evaluation	
			Records Maintenance and Reporting	
			Student Employment Services	
5.5	Student Auxiliary Services	Includes conveniences and services needed to maintain the student body, primarily while on campus.	Housing Services	
			Food Services	
			Retail Services and Concessions	University Store Vending Machines
			University Union	
5.6	Intercollegiate Athletics			
5.7	Student Health/ Medical Services			

NTSU PROGRAM STRUCTURE

PROGRAM: 6.0 Institutional Support

Subprogram		Definition	General Activity	Examples
6.1	Executive Management	Consists of those executive-level activities concerned with the overall management of and planning for the entire institution.	Executive Direction	Board of Regents President Vice Presidents Legislative Liaison
			Planning and Program Development	Analytical Studies Institutional Research Planning Budget Planning Faculty Senate
			Legal Services	University Attorney
6.2	Financial Management and Operations	Activities related to the day-to-day financial management and fiscal operation of the university.	Financial Management and Control	Treasurer Accounting & Financial Reporting Internal Auditing Budget Administration
			Financial Operations	Payroll Bursar Debt Collection
			Investment Management	
			Grants/Contracts Financial Management	Contract Management Grant Accounting

11.

Subprogram		Definition	General Activity	Examples
6.3	Administrative and Logistical Services	Activities for general operations and services (except financial, data processing, and student records).	Personnel Management and Support	Personnel Administration Equal Opportunity Affirmative Action Staff Insurance Retirement Programs Faculty Records
			Facilities Management	Room Scheduling Space Allocation Facilities Records & Reporting
			Health and Safety Services	Police Protection Fire Protection Trash Collection Traffic Control
			Procurement and Materials Handling	Purchasing Receiving/Shipping Inventory Control Warehousing Delivery
			Transportation Services	Motor Pool Bus Operation Parking
			Communication Services	Campus Mail Printing and Duplicating Telephone

Subprogram		Definition	General Activity	Examples
6.4	Administrative Computing Support	Computer services established to provide support for institution-wide administrative functions.	Production Operations Systems Support Applications Information Dissemination/ Promotion	
6.5	Physical Plant Operations	Includes those activities related to maintaining existing grounds and facilities, providing utility services, and planning and designing future plant expansions and modifications.	Building Maintenance Custodial Services Utilities Ground Maintenance Repairs and Renovation Construction Planning	

Subprogram		Definition	General Activity	Examples
6.6	Public Relations/ Development	Activities established to maintain relations with the local community, the alumni, governmental entities, and the public in general; and to support fund-raising and development efforts.	Information Dissemination	Public Information Visitor Center Catalogs and bulletins
			Governmental Relations	Cultivating relations with governmental entities Seeking government financial support
			Alumni and Constituency Relations	Alumni Publications Alumni Events
			Nongovernmental Fund Solicitation	Gift Solicitation Alumni Fund-Raising Development of Grant Proposals
6.7	Student Recruitment and Admissions	Activities to identify prospective students, promote attendance at the university, and process applications for admission.	Recruitment	
			Student Admissions	
6.8	Student Records	Activities to maintain and update records for current and former students.	Records Maintenance and Reporting	
6.9	Faculty and Staff Auxiliary Services			

APPENDIX D

PROGRAM PLANS AND PRIORITIES

NORTH TEXAS STATE UNIVERSITY

September 1, 1978 - August 31, 1979

TO: The University Community

FROM: C. C. Nolen, President

The first-year report of development of a planning and budgeting process was presented to the Board of Regents of North Texas State University in August 1977. The document contained a statement of university goals and planning assumptions for a five-year period, together with a statement of university priorities for the six major program areas for planning. Copies were then given to the heads of each department and budget unit on the campus.

These program plans and priorities were the subject of intensive review in meetings of the President's Cabinet in December 1977 and January 1978. The items from the August 1977 five-year plan have been placed in priority order within programs as the basis for decision making affecting the 1979 fiscal year (September 1, 1978 to August 31, 1979).

The statements that follow were presented in February 1978 as a guide to departments in the preparation of their 1979 budget requests and to administrators who review those requests. Final budget recommendations by each vice president and decision-making by the President's Cabinet will be based on consideration of these plan priorities.

In addition, 20 budget departments which volunteered to be pilot units for a planning and budgeting system will have prepared departmental annual plans for 1979 which will help shape the budget decisions for their departments.

Further, this document will also form the basis for many of the recommendations to be made in the biennial appropriations request to the Texas Legislature due July 1, 1978.

1

THE INSTRUCTION PROGRAM

DEFINITION

The instruction program includes those activities carried out for the express purpose of eliciting some measure of "educational change" in a learner or group of learners. "Educational change" is defined to include

(1) the acquisition or improved understanding of some portion of a body of knowledge;

(2) the adoption of new or different attitudes; and

(3) the acquisition or increased mastery of a skill or set of skills.

SPECIAL PRIORITY

Off-Campus Instruction

There will be a major continuing effort to establish and maintain permanent instruction/public service centers in Dallas/Fort Worth. The top priority for budget allocation for 1979 will be to provide support costs for the maintenance and operation of a Dallas Center--the Easterwood Building or its equivalent. In Fort Worth, the completion of Medical Education Building No. 1 is expected to make available first-class instructional space on the campus of Texas College of Osteopathic Medicine.

FIRST PRIORITY GROUP: FACULTY

1. *Teaching Effectiveness*

   The university will give a higher priority to the importance of teaching effectiveness and will reward its achievement.

2. *Faculty Recruitment*

   The university will continue and enlarge its program to recruit outstanding teacher/scholars for the permanent faculty and as visiting professors.

3. *Faculty Development*

   Faculty members will be aided by a formal program to continue development of their skills and specialties.

4. *Staffing Standards*

   Faculty staffing patterns will be controlled carefully to maintain standards in academic areas experiencing a decrease in student demand.

5. *Staffing Flexibility*

   Budget reserves will be maintained to provide staffing flexibility for academic areas experiencing growth in student demand.

FIRST PRIORITY GROUP: STUDENTS

1. *Student Recruitment*

   The university and each department should develop plans to recruit students of high potential

2. *Admissions Policy*

   Admissions policies will be evaluated in terms of the stated mission and goals of the university and of each school and college.

3. *Student Retention*

   Studies of student retention by program and of factors involved in student attrition will lead to programs for improving student retention.

FIRST PRIORITY: CENTERS OF EXCELLENCE

Centers of Excellence

The university will develop an environment in which a number of academic units will elevate themselves to a level of national and international recognition. This requires the definition of criteria necessary to identify a center of excellence.

OTHER PRIORITIES

Other instructional program priorities in the five-year plan remain of significance. For purposes of budget considerations, they are ranked in a lower group. All departments are, however, urged to do all within their capabilities to work toward accomplishment of these program areas.

1. *Outcome Measures*

   The program planning strategy for the instruction program relies on development of systematic evaluation techniques. For the instruction program, all departments and the university administration will emphasize the development of measures of educational outcomes for the evaluation of program success.

2. *Academic Loads*

   Standards will be developed for optimum effectiveness in class size, teaching loads, and creating new faculty positions.

3. *Summer Session*

   Improved understanding of student demand will lead to increased options in summer enrollment period lengths, to identification of program areas needing more schedule emphasis, and to greater attractiveness of summer study in general.

4. *Community Education*

   Every academic department on the campus is asked to develop plans for noncredit continuing education programs.

5. *Faculty Budgeting*

   Faculty budget planning should incorporate noncredit continuing education programs wherever possible.

2

THE RESEARCH PROGRAM

DEFINITION

The research program includes those activities intended to produce one or more research outcomes including the creation of knowledge, the reorganization of knowledge, the application of knowledge, and creative production. It includes both those activities carried out with institutional funds and those carried out under the terms of agreement with agencies external to the institution. Research activities may be conducted by any number of organizational entities including research divisions, centers, and institutes. (Instructional activities such as workshops, short courses, and training grants should not be classified within the research program.)

PRIORITIES

1. *Departmental Research Development*

   Each academic department having a commitment to graduate studies is to develop a five-year plan for research, identifying its areas of greatest competence and opportunity, and proposing methods and sources of external funding. The department should consider the self-study recommendation to establish a departmental research coordinator or committee if it has not already done so.

2. *Support to Faculty for Research Proposals*

   The university administration commits itself to improving the system for obtaining and allocating external research funding. In keeping with the 1975 Program for Excellence, increased advice and assistance in the preparation and submission of grant proposals will be made available to the faculty and staff.

3. *Gaining Legislative Support*

   The university will work to increase legislative interest in the importance of the organized research program, with the goal of receiving full-formula research funding in the 1980-81 biennium.

4. *Faculty Recruitment*

   Improved research capabilities will be among the factors given importance in the faculty recruitment program outlined elsewhere in this document.

5. *Centers of Excellence*

   Significant research activity will be one of the important measures in determining that certain academic units have elevated themselves to a level of national and international recognition.

3

THE PUBLIC SERVICE PROGRAM

DEFINITION

The public service program includes those program elements established to make available to the public the various unique resources and capabilities of the institution for the specific purpose of responding to a community need or solving a community problem. Included in this program are the provision of institutional facilities as well as those services of the faculty and staff that are made available outside the context of the institution's regular instruction and research programs.

PRIORITY

Developing Service Opportunities

Each department is encouraged to identify special opportunities for enlarged public service, to develop plans for providing appropriate responses to those opportunities, and to devise the means of developing fund support to provide the resources needed for service programs.

4

THE ACADEMIC SUPPORT PROGRAM

DEFINITION

The academic support program includes those activities carried out in direct support of one or more of the three primary programs (instruction, research, public service). This program includes (1) activities related to the preservation, maintenance, and display of both the stock of knowledge and educational materials, (2) activities that directly contribute to the way in which instruction is delivered or research is conducted, such as educational media services and academic computing, (3) activities directly related to the administration of academic programs, and (4) activities related to the professional development of academic personnel.

PRIORITIES

1. *Improving Teaching Skills*

   The university will commit space, equipment, and operating funds to assist faculty members in the development of improved instruction techniques. In the design of instructional programs making use of various media, this will be aided through the Center for Instructional Services, which reports to the academic vice president. Participation in the Southern Region Education Board study will stress the development of teaching effectiveness and its evaluation.

2. *Media Library*

   The university will provide new building space, capital equipment, and increased operating funds to provide library services in support of instructional improvement through increased use of instructional media.

3. *Computing Services*

   The university will increase the number of computer terminals available for instructional use. Faculty will be added (as in the School of Music) who are experienced in the use of computer-aided instruction. The president has appointed a committee to plan the enlargement of the Computing Center to meet expanding needs of the university, including the support of the instruction and research programs.

4. *Faculty Development Leaves*

   Despite absence of appropriations specifically for the purpose, the university will develop unallocated fund balances to support the re-institution of the faculty development leave program. (See also 3. Faculty Development under instructional program priorities.)

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THE STUDENT SERVICE PROGRAM

DEFINITION

The student service program includes those activities carried out with the objective of contributing to the emotional and physical well-being of the students as well as to their intellectual, cultural, and social development outside the context of the institution's formal instruction program. The student service program attempts to achieve this objective by

(1) expanding the dimensions of the student's educational and social development by providing cultural, social, and athletic experiences;

(2) providing those services and conveniences needed by students as members of an organized university community; and

(3) assisting students in dealing with personal problems and relationships as well as in their transition from student to members of the labor force.

PRIORITIES

1. *Social/Cultural Development*

   The need for expansion of existing social and cultural development programs (e.g., fine arts, intramural and club sports, and other similar cocurricular activities) requires increases in appropriate revenue production.

2. *Athletic Funding/Athletic Conference*

   The dependence of intercollegiate athletics on other auxiliary enterprise activities for revenue must be reduced while the search continues for alternate fund sources for support for all athletic programs.

   The university will seek membership in the Southwest Conference.

3. *University Union*

   The problem of increased operating costs shall be handled in part by even greater care in budget planning, in part by a reasonable allocation of some costs to other programs making use of the facility (e.g., sharing of utility costs), and in part by total program planning to increase Union revenue opportunities.

4. *Student Housing*

Providing alternate types of housing facilities to meet the needs of a changing student body is a major priority. Groups whose needs must be considered include:

a. Married Students, Older Students, Graduate Students
b. International Students
c. Handicapped Students
d. Those attending conferences and other instructional and public service short courses and meetings.

5. *Equal Opportunity*

The university will provide equal access to all programs without regard to the sex of the student.

6. *Handicapped Students*

The university will plan its programs (not just facilities) to make them accessible to the physically handicapped student.

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THE INSTITUTIONAL SUPPORT PROGRAM

DEFINITION

The institutional support program consists of those activities carried out to provide for both the day-to-day functioning as well as the long-range viability of the institution as an operating organization. The overall goal of the institutional support program is to provide for the institution's organizational effectiveness and continuity. It does this by

(1) providing for planning and executive direction;

(2) providing for administrative and logistical services;

(3) maintaining the quality of the physical environment;

(4) enhancing relationships with the institution's constituencies; and

(5) obtaining a student body having those characteristics consistent with the mission and goals of the university.

PRIORITIES

1. *Planning and Budgeting*

The continued refinement of a process for planning and budgeting remains the central factor in the institutional support program.

a. *Organization.* The Planning and Budgeting Task Force will be continuing with the goal of involving every university unit in a fully operational process by 1980. The President's Cabinet will have the responsibility of serving as a "university planning council" to implement and review the process for presentation to the Board of Regents.

b. *Goal Definition.* The self-study request for evaluation of institutional effectiveness based on operationally defined objectives is noted as a major university need. The university community is participating in this process on a continuing basis through use of the Institutional Goals Inventory.

c. *Program Evaluation*. The commitment to evaluation of faculty and of instructional programs will also extend to all other program areas and to administrative personnel.

d. *Budget Management*. A major budget planning strategy will be to forecast and plan the use in subsequent years of unallocated balances from education and general funds for use in funding difficult formula areas.

2. *Facilities Development*

The facilities development program will emphasize provision of specialized program space now lacking, modernization of substandard or outmoded facilities, and improved utilization of general instructional space.

3. *Communicating Policies and Plans*

The university will emphasize methods for formulating policies and plans which involve full advance communication to the university community and the provision of responses from affected individuals and groups prior to the implementation of such policies and plans.

4. *Legislative Relations*

The planning/budgeting process will be required to develop rational program funding requirements in order to provide a rational information basis for a continuing legislative relations program.

5. *External Funding*

The university will increase its effort at private funding. Development of discretionary funds should be built into the planning effort of each school and college.

6. *Development Fund Priorities*

All programs should work through the planning and budgeting process so that the university priorities developed may become the basis of the university fund development program.

7. *Community Relations*

An analysis of problems and opportunities should lead to the improvement of programs for relations with the Denton community and the larger Metroplex area.

8. *Regional Planning*

The university administration and Board of Regents will take leadership roles in developing additional regional dialogs looking toward regional higher education systems development.